



**SCHEDULE OF EVENTS
FOR
BOARD OF REGENTS' MEETING**

**February 10-11, 2016
Galveston, Texas**

U. T. Medical Branch - Galveston, 301 University Boulevard, Galveston, Texas 77555

- *Research Building 6, Market and 9th Street, Room 1.108 (Executive Sessions)*
- *Research Building 6, Market and 9th Street, Room 1.206 (Open Sessions)*
- *Office of President Callender (409) 772-1902*

Wednesday, February 10, 2016

Finance and Planning Committee	9:30 a.m.
Joint Audit and Finance Committees	10:30 a.m.
Audit, Compliance, and Management Review Committee	11:00 a.m.
Meeting of the Board - Executive Session (working lunch)	11:45 a.m.
Facilities Planning and Construction Committee	12:30 p.m.
Technology Transfer and Research Committee	1:00 p.m.
Academic Affairs Committee	2:00 p.m.
Health Affairs Committee	4:00 p.m.
Recess	5:30 p.m.

Thursday, February 11, 2016

Meeting of the Board - Open Session	8:30 a.m.
Recess to Executive Session and Working Lunch	10:25 a.m.
Meeting of the Board - Open Session	2:00 p.m. <i>approximately</i>
Adjourn	2:15 p.m. <i>approximately</i>

From Houston to UTMB

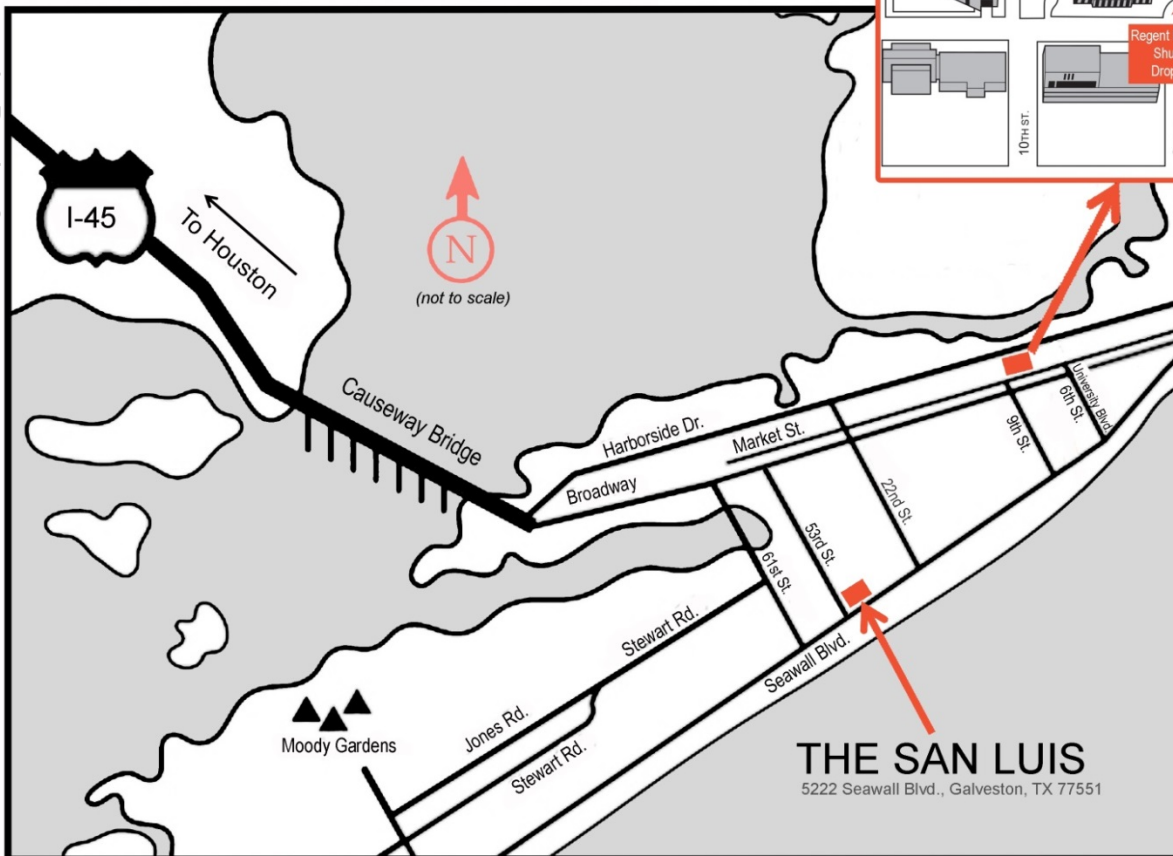
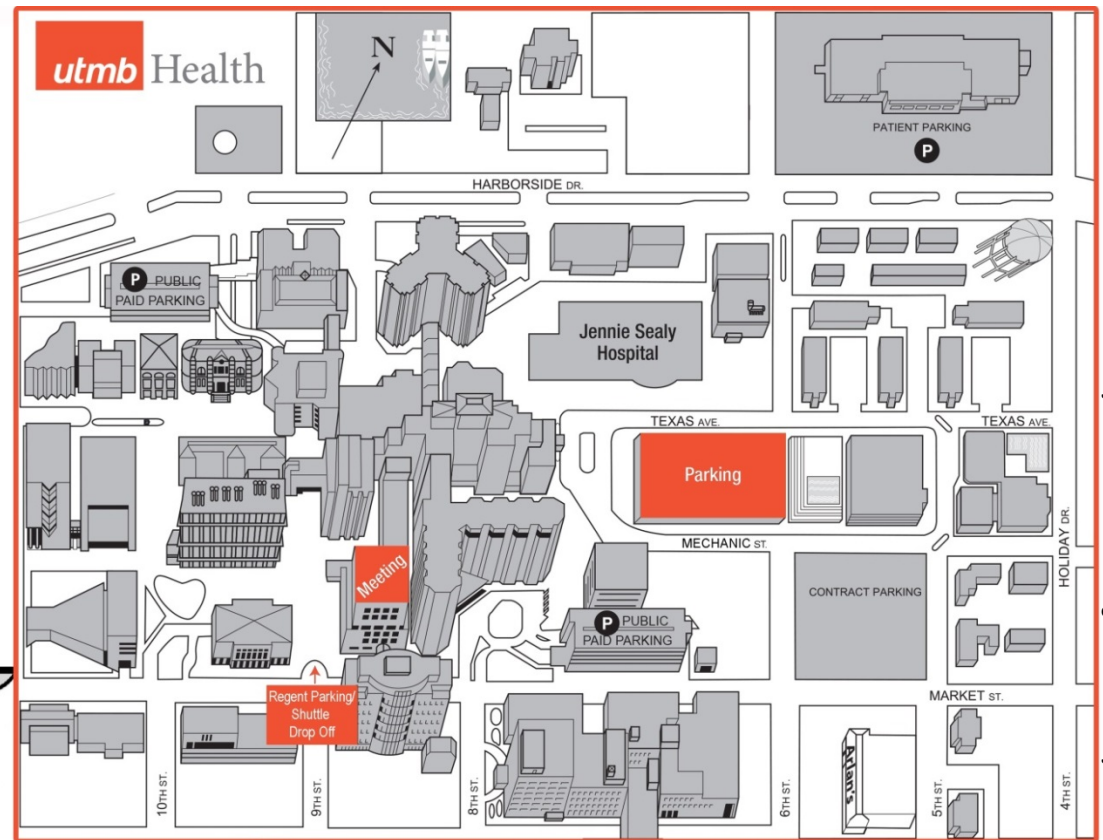
Take I-45 South to Galveston.

I-45 becomes Broadway after crossing causeway.

Continue on Broadway to University Boulevard/6th Street.

Turn left on University Boulevard/6th Street and proceed to Mechanic Street.

Turn left on Mechanic Street. The parking garage is located on the right.



From The San Luis to UTMB

Turn left on Seawall Boulevard.

Continue on Seawall Boulevard to University Boulevard/6th Street.

Turn left on University Boulevard/6th Street and proceed to Mechanic Street.

Turn left on Mechanic Street. The parking garage is located on the right.

Continuous shuttle service will be provided to UTMB from The San Luis.



**AGENDA
FOR MEETING OF
THE UNIVERSITY OF TEXAS SYSTEM
BOARD OF REGENTS
February 10-11, 2016
Galveston, Texas**

	Board Meeting	Page
<u>Wednesday, February 10, 2016</u>		
COMMITTEE MEETINGS	<i>9:30 a.m.-11:45 a.m.</i>	
CONVENE THE BOARD IN OPEN SESSION TO RECESS TO EXECUTIVE SESSION PURSUANT TO <i>TEXAS GOVERNMENT CODE</i> , CHAPTER 551 (working lunch)	<i>11:45 a.m. approximately</i>	
1. Deliberations Regarding the Purchase, Exchange, Lease, Sale, or Value of Real Property – Section 551.072		
U. T. Health Science Center - Houston: Discussion and appropriate action regarding a) purchase of approximately 3.423 acres of land and improvements located at 1133 John Freeman Boulevard, Houston, Harris County, Texas, from the Houston Academy of Medicine, a Texas nonprofit corporation for immediate office use and future development and campus expansion; b) lease of space in buildings located at 1133 John Freeman Boulevard and 1851 Crosspoint Avenue to the Houston Academy of Medicine dba The Texas Medical Center Library; and c) finding of public purpose		
<u>Additional Item</u>		
Consultation with Attorney Regarding Legal Matters or Pending and/or Contemplated Litigation or Settlement Offers – Section 551.071		
U. T. System: Discussion and appropriate action related to legal issues associated with institutional sexual assault, harassment, and misconduct policies proposed for approval by the Board of Regents		
RECONVENE IN OPEN SESSION TO CONSIDER ACTION, IF ANY, ON EXECUTIVE SESSION ITEMS	<i>12:25 p.m.</i>	
COMMITTEE MEETINGS	<i>12:30 p.m. - 5:30 p.m.</i>	
<u>Thursday, February 11, 2016</u>		
CONVENE THE BOARD IN OPEN SESSION TO CONSIDER AGENDA ITEMS	<i>8:30 a.m.</i>	
1. U. T. Medical Branch - Galveston: Overview of the institution	<i>8:35 a.m.</i>	
	Report <i>President Callender</i>	7

	Board Meeting	Page
2. U. T. System Board of Regents: Approval of Consent Agenda items and consideration of any items referred to the full Board	<i>8:50 a.m.</i> Action	18
3. U. T. System Board of Regents: Discussion and appropriate action regarding amendments to Regents' <i>Rules and Regulations</i>, Rule 20101, Chancellor, and Rule 20201, Presidents, to promote diverse candidate pools	<i>8:55 a.m.</i> Action	19
4. U. T. System Board of Regents: Discussion and appropriate action regarding proposed amendments to Regents' <i>Rules and Regulations</i>, Rule 30104, Conflict of Interest, Conflict of Commitment, and Outside Activities, to clarify Section 9, allowing authorized opinions for advertising purposes	<i>9:00 a.m.</i> Action	20
5. U. T. System Board of Regents: Discussion and appropriate action regarding amendment of Regents' <i>Rules and Regulations</i>, Rule 31001, Faculty Appointments and Titles, Section 2 and Rule 31007, Tenure, Section 7 to remove obsolete faculty titles and to allow faculty to hold tenure appointments at more than one institution if approved by the appropriate Executive Vice Chancellor	<i>9:05 a.m.</i> Action	21
6. U. T. System Board of Regents: Discussion and appropriate action regarding amendment of Regents' <i>Rules and Regulations</i>, Rule 40601, Institutions Comprising The University of Texas System, to delegate certain approval authority	<i>9:10 a.m.</i> Action	24
7. U. T. System Board of Regents: Discussion and appropriate action regarding amendment of Regents' <i>Rules and Regulations</i>, Rule 50501, Liability Insurance for Students, concerning medical students enrolled in academic institutions	<i>9:15 a.m.</i> Action	35
8. U. T. System Board of Regents: Discussion and appropriate action regarding amendment of Regents' <i>Rules and Regulations</i>, Rule 80307, Naming Policy, concerning process of addressing requests from institutions for both prominent and less prominent namings	<i>9:20 a.m.</i> Action <i>Dr. Safady</i>	37
9. U. T. System: Report on strategic Quantum Leaps initiatives	<i>9:25 a.m.</i> Report <i>Chancellor McRaven</i>	45
10. U. T. System: Approval of allocation of \$30 million of Permanent University Fund Bond Proceeds for the enhancement of the Science and Technology Acquisition and Retention (STARs) Program to include an allocation of \$20 million for expansion of the Rising STARs program	<i>9:45 a.m.</i> Action <i>Chancellor McRaven</i>	46
11. U. T. System: Approval of \$5 million in additional Permanent University Fund Bond Proceeds for continued funding of the U. T. System Research Incentive Program	<i>9:50 a.m.</i> Action	48
12. U. T. System: Report on development performance for the U. T. System institutions	<i>9:55 a.m.</i> Report <i>Dr. Safady</i>	50
STANDING COMMITTEE RECOMMENDATIONS AND REPORTS TO THE BOARD	<i>10:10 a.m.</i> <i>approximately</i>	

RECESS TO EXECUTIVE SESSION PURSUANT TO TEXAS
GOVERNMENT CODE, CHAPTER 551 (working lunch at noon)

10:25 a.m.
approximately

2. Negotiated Contracts for Prospective Gifts or Donations –
Section 551.073
 - a. **U. T. Austin: Discussion and appropriate action regarding proposed negotiated gifts with potential naming features**
 - b. **U. T. System/U. T. Austin: Discussion and appropriate action regarding proposed negotiated gifts with potential naming features**
 - c. **U. T. Dallas: Discussion and appropriate action regarding proposed negotiated gifts with potential naming features**
 - d. **U. T. Rio Grande Valley: Discussion and appropriate action regarding proposed negotiated gifts with potential naming features**
 - e. **U. T. San Antonio: Discussion and appropriate action regarding proposed negotiated gifts with potential naming features**
 - f. **U. T. Tyler: Discussion and appropriate action regarding proposed negotiated gifts with potential naming features**
 - g. **U. T. Health Science Center - Houston: Discussion and appropriate action regarding proposed negotiated gifts with potential naming features**
 - h. **U. T. M. D. Anderson Cancer Center: Discussion and appropriate action regarding proposed negotiated gifts with potential naming features**
3. Consultation with Attorney Regarding Legal Matters or Pending and/or Contemplated Litigation or Settlement Offers – Section 551.071
 - a. **U. T. System Board of Regents: Discussion with Counsel on pending legal issues**
 - b. **U. T. Austin: Discussion and appropriate action related to legal issues concerning settlement with Bevilacqua Helfant Ventures, LLC (BHV) regarding consulting services**
 - c. **U. T. System: Discussion and appropriate action regarding legal issues related to incentivizing collaboration among U. T. System institutions**
 - d. **U. T. System Board of Regents: Discussion and appropriate action regarding legal issues concerning pending legal claims by and against U. T. System**

4. Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of Officers or Employees – Section 551.074
 - a. **U. T. System: Discussion and appropriate action regarding individual personnel matters relating to appointment, employment, evaluation, compensation, assignment, and duties of U. T. System and institutional employees including employees covered by Regents' *Rules and Regulations*, Rule 20204, regarding compensation for highly compensated employees, and Rule 20203, regarding compensation for key executives**
 - b. **U. T. System: Discussion and appropriate action regarding individual personnel matters relating to appointment, employment, evaluation, compensation, assignment, and duties of presidents (academic and health institutions), U. T. System Administration officers (Executive Vice Chancellors and Vice Chancellors), other officers reporting directly to the Board (Chancellor, General Counsel to the Board, and Chief Audit Executive), members of the Board of Regents, and U. T. System and institutional employees**
 - c. **U. T. System: Discussion and appropriate action regarding individual personnel matters relating to compensation including achievement of goals for quantitative performance incentive compensation for Presidents and U. T. System Executive Officers**
 - d. **U. T. System: Discussion and appropriate action regarding proposed changes in compensation for Executive Vice Chancellor for Health Affairs Raymond Greenberg and for Vice Chancellor for Strategic Initiatives Stephanie Bond Huie**
 - e. **U. T. Southwestern Medical Center: Discussion and appropriate action regarding proposed increase in compensation for Jeffrey Kenkel, M.D., Chair and Professor, Department of Plastic Surgery (Regents' *Rules and Regulations*, Rule 20204, regarding compensation for highly compensated employees)**
5. Deliberation Regarding Security Devices or Security Audits – Section 551.076

U. T. System Board of Regents: Discussion and appropriate action regarding safety and security issues, including security audits and the deployment of security personnel and devices

RECONVENE IN OPEN SESSION TO CONSIDER ACTION, IF ANY, ON EXECUTIVE SESSION ITEMS AND TO CONSIDER AGENDA ITEM

2:00 p.m.
approximately

13. **U. T. Austin: Discussion and appropriate action regarding proposed reallocation of a portion of the Available University Fund (AUF) allocated to U. T. Austin, from use to support online and on-campus enrollment growth to use for other strategic purposes to benefit U. T. Austin**

Action

79

ADJOURN

2:15 p.m.
approximately

1. **U. T. Medical Branch - Galveston: Overview of the institution**

REPORT

President Callender will provide an overview of U. T. Medical Branch - Galveston, including the institution's 125 years of service to Texas, using the presentation on the following pages.

U. T. System Board of Regents' Meeting
Meeting of the Board
February 2016

U. T. Medical Branch – Galveston: 125 Years of Service

David L. Callender, M.D., MBA, FACS
President
U. T. Medical Branch – Galveston



Galveston near the turn of the century

- An international city with trade from around the U.S. and the world
- From 1844 to 1924, more than 200,000 immigrants came to the U.S. via the Port of Galveston
- One of the nation's busiest ports, leading in cotton exports and third in wheat exports
- Population in 1900: 42,210



Texans choose Galveston for the location of the first medical school

- In 1881, 70 percent of Texas voters chose Galveston as location of state's first medical school
- Original John Sealy Hospital and its Training School for Nurses opened in 1890, with pivotal funding from the Sealy Family



A 125-year legacy of service begins

- October 1891: First medical school class is held in the Ashbel Smith Building, named for renowned physician and first Chairman of the Board of Regents
- 23 medical students taught by 13 faculty
- Old Red still stands today



Ashbel Smith Building
("Old Red") before
The 1900 Storm

The 1900 Storm: Resilience in the face of great challenge

- Galveston's prominence as a city and port was forever altered by The 1900 Storm
- The University of Texas System never wavered in its commitment to UTMB

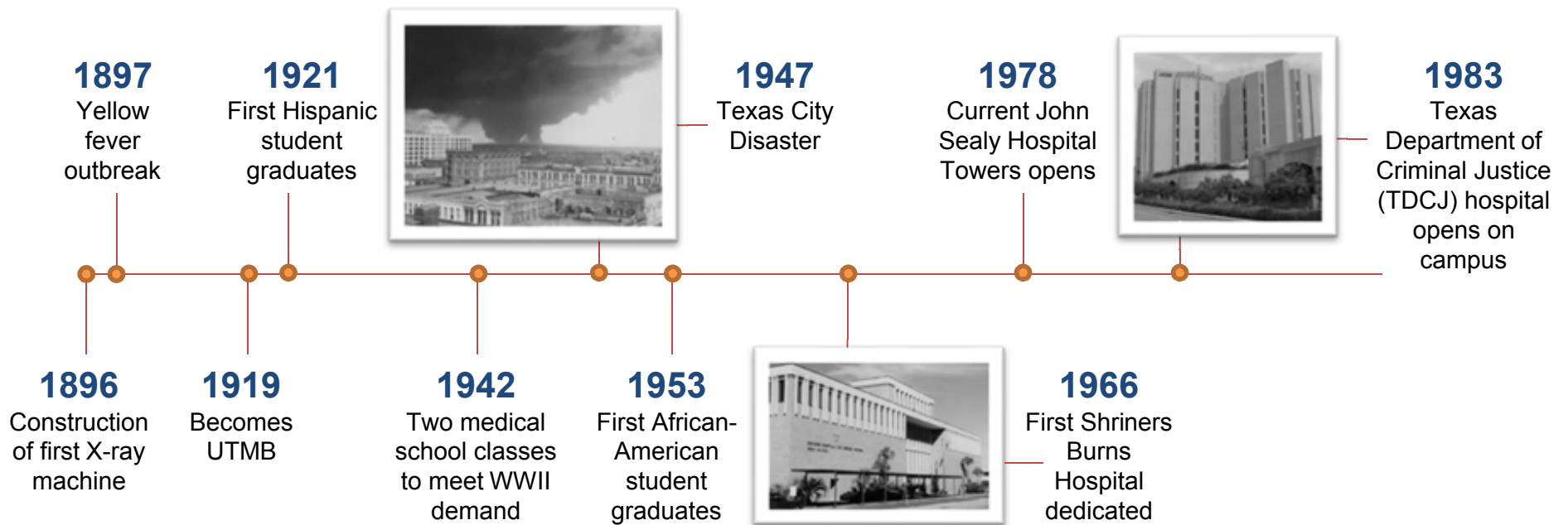


Damage to John Sealy Hospital in The 1900 Storm

Telegram from U. T. President William Lambdin Prather after The 1900 Storm



Historic contributions to health care



Defining the future of health care

- **1994:** UTMB pioneers telehealth technology as part of new Correctional Managed Care contract
- **2003:** John Sealy Pavilion for Infectious Diseases Research opens
- **2008:** Galveston National Laboratory opens as one of two National Biocontainment Laboratories established by the National Institutes of Health



Galveston National Laboratory

Defining the future of health care

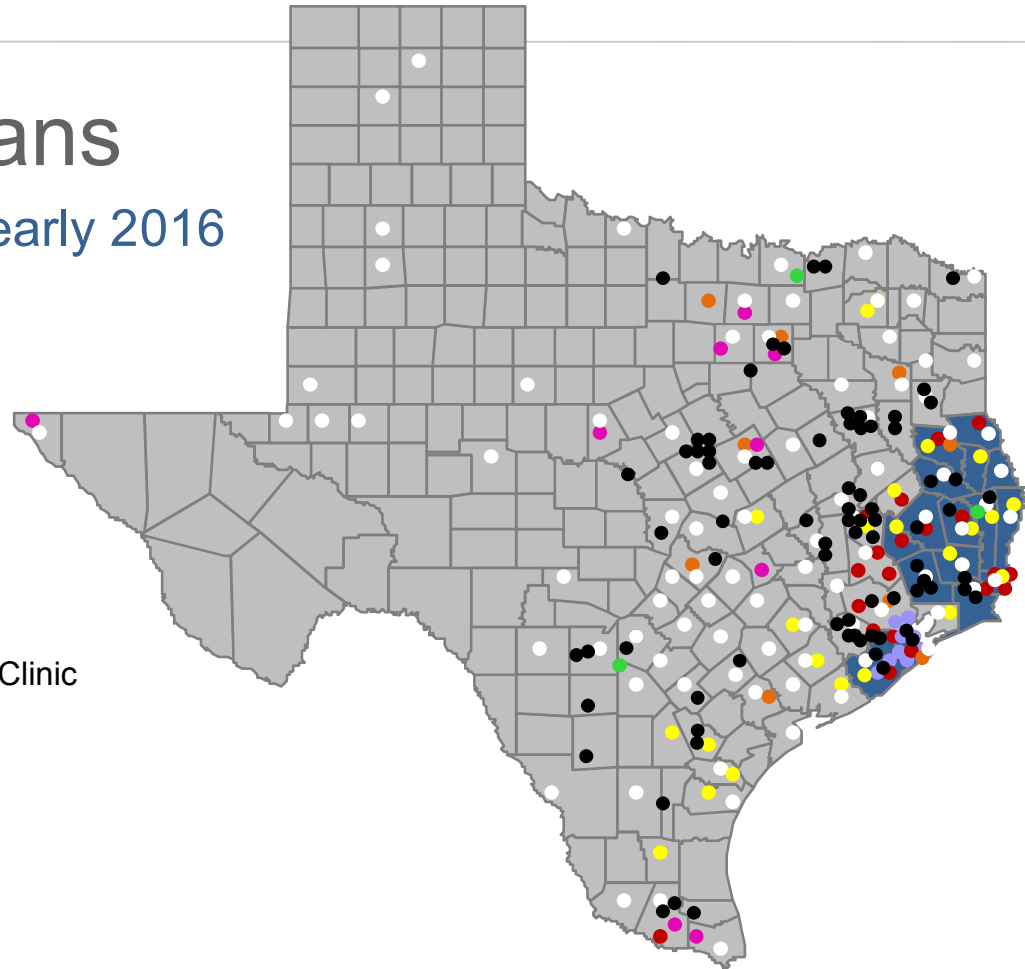
- **2008:** Hurricane Ike hits Galveston; one week after storm, UTMB opens four mainland clinics
- **2012:** Dedication of expanded and renovated Blocker Burn Unit
- **2014:** UTMB is an international leader in addressing Ebola crisis
- **2016:** Jennie Sealy Hospital to open; League City Hospital to open



Taking care of Texans

UTMB's extensive reach as of early 2016

- Community Clinic
- Regional Maternal and Child Health Clinic
- Telemedicine Clinic
- Educational Affiliation
- East Texas Area Health Education Center
- Contracted County for Indigent Care
- TDCJ Prison Clinic
- Texas Juvenile Justice Department Facility Clinic
- Region 2, 1115 Waiver



Staying true to our mission – for 125 years!

- Educating the next generation of health care professionals
- Changing lives through groundbreaking research
- Caring for our patients, supported by advanced facilities and technology, and outstanding clinical expertise



2. **U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, assigned for Committee consideration**

RECOMMENDATION

No Consent Agenda items are assigned for review by this Committee. The Consent Agenda begins on [Page 426](#).

3. **U. T. System Board of Regents: Discussion and appropriate action regarding amendments to Regents' Rules and Regulations, Rule 20101, Chancellor, and Rule 20201, Presidents, to promote diverse candidate pools**

RECOMMENDATION

The Chancellor concurs in the recommendation of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Health Affairs, and the Vice Chancellor and General Counsel that Regents' *Rules and Regulations*, Rule 20101, Chancellor, and Rule 20201, Presidents, be amended as set forth below in congressional style:

a. Rule 20101, Chancellor

Sec. 3 The search process shall be conducted in a manner best determined to identify candidates with diverse professional backgrounds and experiences.

b. Rule 20201, Presidents

Sec. 1 President Selection

...

- 1.7 Recommendation. The Advisory Committee shall submit to the Board, through its Chairman, a list of no more than 10 recommended candidates with no preference indicated. Candidates recommended shall have received a majority vote of the Committee.

The Committee shall strive to include candidates with diverse professional backgrounds and experiences. In making its recommendation, the Committee shall follow the U. T. Systemwide Policy UTS187, *Interviews of Executive Administrators and Other Senior Administrators*, to provide the Board with a diverse candidate pool. If it is not possible or practical to provide such a pool, the search committee chair shall identify for the Board efforts made to achieve a diverse candidate pool.

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BACKGROUND INFORMATION

The proposed changes to Regents' Rule 20101, Chancellor, and Rule 20201, Presidents, are consistent with the U. T. System's commitment to the promotion of diversity at U. T. System Administration and at all U. T. System institutions.

The proposed Rule changes are aligned with Chancellor McRaven's Quantum Leaps, specifically the commitment to enhance the hiring and promotion process. Chancellor McRaven recently implemented U. T. Systemwide Policy UTS187, *Interviews of Executive Administrators and Other Senior Administrators*, with the intent to diversify the leadership of U. T. System Administration and the U. T. System institutions. The proposed Rules changes encourage the identification and interview of candidates with diverse backgrounds and professional experience.

4. **U. T. System Board of Regents: Discussion and appropriate action regarding proposed amendments to Regents' *Rules and Regulations*, Rule 30104, Conflict of Interest, Conflict of Commitment, and Outside Activities, to clarify Section 9, allowing authorized opinions for advertising purposes**

RECOMMENDATION

The Chancellor concurs in the recommendation of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Health Affairs, and the Vice Chancellor and General Counsel that Section 9 of the Regents' *Rules and Regulations*, Rule 30104, regarding Conflict of Interest, Conflict of Commitment, and Outside Activities, be amended as set forth in congressional style below. The proposed amendment will allow opinions for advertising purposes where authorized pursuant to U. T. Systemwide policy.

Sec. 9 Opinions for Advertising Purposes. Every employee must protect the U. T. System and U. T. System institutions against the unauthorized use of opinions for advertising purposes.

BACKGROUND INFORMATION

The proposed amendment to Regents' Rule 30104, regarding Conflict of Interest, Conflict of Commitment, and Outside Activities, is designed to better reflect the intent of the provision. The Rule is not intended to prohibit employees from engaging in certain forms of speech in their personal capacities, or to constrain employees from certain forms of speech in their official capacities, when such speech furthers the interests of the U. T. System and is authorized. U. T. System will create a Systemwide policy to assist U. T. System Administration and U. T. System institutions regarding the use of employee opinions for advertising purposes.

Upon approval of this item, this language will be moved to Regents' Rule 30103, regarding Standards of Conduct.

5. **U. T. System Board of Regents: Discussion and appropriate action regarding amendment of Regents' Rules and Regulations, Rule 31001, Faculty Appointments and Titles, Section 2 and Rule 31007, Tenure, Section 7 to remove obsolete faculty titles and to allow faculty to hold tenure appointments at more than one institution if approved by the appropriate Executive Vice Chancellor**

RECOMMENDATION

The Chancellor concurs in the recommendation of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Health Affairs, and the Vice Chancellor and General Counsel that Regents' *Rules and Regulations*, Rule 31001 (Faculty Appointments and Titles), Section 2 and Rule 31007 (Tenure), Section 7, be amended as set forth in congressional style below to remove obsolete faculty titles that were used exclusively by U. T. Brownsville and to allow faculty to hold tenure appointments at more than one institution only if authorized by the appropriate Executive Vice Chancellor.

a. Rule 31001

Sec. 2 Academic Titles. To achieve consistency in the use of academic titles among the institutions of the System, the following subsections describe the use of titles to apply in all institutions.

2.1 Tenure Titles. Except for the titles Regental Professor and Regents' Research Scholar, ~~and for individuals who received tenure on or before September 1, 2010, with the technical titles of Master Technical Instructor, Associate Master Technical Instructor, or Assistant Master Technical Instructor as authorized in the U. T. Brownsville Handbook of Operating Procedures,~~ the only titles to be used ~~henceforth~~ in which faculty members may hold tenure or be on the tenure track are as follows:

(a) Professor

(b) Associate Professor

(c) Assistant Professor ~~(Tenure-Track)~~

2.2 Other Titles. The following academic titles may also be used by the institutions of the U. T. System. Tenure may not be awarded to a person appointed to these titles. With the exception of the title of Instructor, academic service with these titles may not be counted toward the satisfaction of any maximum probationary period. Appointments to these titles shall be for a period of time not to exceed one academic year except in the case of Lecturer, Senior Lecturer, or a clinical or research position with a title authorized by Section 2.2(h) below when an appointment may be for periods of time not to exceed three academic years. With the exception of the title of Instructor, such appointments shall terminate at the expiration of the stated period of appointment without notification of

nonrenewal. If an institution determines that it is to the benefit of the institution, it may offer reappointments to these titles in accordance with *Texas Education Code* Section 51.943.

(a) Instructor. This title denotes a probationary appointment.

~~(b) Technical Titles. Master Technical Instructor, Associate Master Technical Instructor, Assistant Master Technical Instructor, and Technical Instructor, as authorized in the U. T. Brownsville Handbook of Operating Procedures. These titles are only used at U. T. Brownsville.~~

(eb) Lecturer. This title may be used for individuals who will serve as Teachers and whose teaching experience and qualifications are comparable to those of faculty members in untenured, tenure-track positions. Upon approval by the president, an institution may identify up to three divisions within this rank to be designated Lecturer I, Lecturer II, and Lecturer III.

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b. Rule 31007

Sec. 7 Prohibition. A person appointed to a tenured faculty position ~~with the title of Instructor, Assistant Professor, Associate Professor, or Professor or with the title of Technical Instructor, Assistant Master Technical Instructor, Associate Master Technical Instructor, or Master Technical Instructor~~ at an institution of the U. T. System may not, during the term of such appointment, hold a tenured position on the faculty of another educational institution ~~outside the U. T. System or any of the institutions unless without the express written permission of the appropriate Executive Vice Chancellor the institutional Handbook of Operating Procedures specifically authorizes the holding of such position as a part of the initial appointment.~~

7.1 Resignation of Outside Tenure. Unless an exception is approved as authorized above, tenured faculty appointments within the U. T. System ~~to the above-specified titles~~ shall be conditioned upon the appointee having resigned any tenured position ~~that the appointee may then hold on the faculty of an-at any other~~ educational institution ~~outside the U. T. System or any of the institutions~~. Such resignation must be completed and effective prior to the effective date of the appointment at the U. T. System institution; otherwise, such appointment shall be void and of no effect.

7.2 Acceptance Considered Resignation. After a person holds a tenure faculty appointment at a U. T. System institution, ~~the~~ acceptance of an tenured faculty appointment ~~to a tenured position on the faculty of an-at any other~~ educational institution ~~outside the U. T. System or any of the institutions~~ shall be considered as a

resignation of ~~any the U. T. System~~ faculty appointment unless the appropriate Executive Vice Chancellor has granted express written permission for the holding of such a dual appointment position with the title of Instructor, Assistant Professor, Associate Professor, Professor, Technical Instructor, Assistant Master Technical Instructor, Associate Master Technical Instructor, or Master Technical Instructor that such appointee may hold at a System institution.

BACKGROUND INFORMATION

The proposed amendments to Rule 31007 change provisions regarding holding a tenured faculty position at more than one institution to allow such appointments only if approved by the Executive Vice Chancellor for Academic Affairs or the Executive Vice Chancellor for Health Affairs. The proposed amendments to Rules 31001 and 31007 also delete faculty titles used exclusively at U. T. Brownsville from the Rules.

6. **U. T. System Board of Regents: Discussion and appropriate action regarding amendment of Regents' *Rules and Regulations*, Rule 40601, Institutions Comprising The University of Texas System, to delegate certain approval authority**

RECOMMENDATION

The Chancellor concurs in the recommendation of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Health Affairs, the Vice Chancellor for External Relations, and the Vice Chancellor and General Counsel that Regents' *Rules and Regulations*, Rule 40601, regarding Institutions Comprising The University of Texas System, be amended as set forth in congressional style on the following pages to remove the need for Board of Regents' approval when making certain name changes and additions.

BACKGROUND INFORMATION

The proposed amendments to Rule 40601 would streamline the process for approval of name changes to existing colleges and schools. The proposed change would delegate approval authority for such changes to the appropriate Executive Vice Chancellor. The changes would also codify the practice of Executive Vice Chancellor approval for units below the level of a college, such as a department.

The Office of the Board of Regents will maintain the list of colleges and schools at each institution as those require Board approval. The Offices of Academic Affairs and Health Affairs will maintain the list of departments at the U. T. System institutions.

**The University of Texas System
Rules and Regulations of the Board of Regents**

Rule: 40601

1. Title

Institutions Comprising The University of Texas System

2. Rule and Regulation

Sec. 1 Official Titles of Institutions. The U. T. System is composed of the institutions ~~and entities~~ set forth below. To ensure uniformity and consistency of usage throughout the U. T. System, the institutions ~~and their respective entities~~ shall be listed in the following order and the following titles (short form of title follows) shall be used:

1.1 The University of Texas System Board of Regents (U. T. System Board of Regents)

1.2 The University of Texas System Administration (U. T. System Administration)

~~(a) The University of Texas System Bauer House (U. T. Bauer House)~~

1.3 Academic Institutions of the U. T. System are:

(a) The University of Texas at Arlington (U. T. Arlington)

~~The University of Texas at Arlington College of Architecture, Planning and Public Affairs~~

~~(b) The University of Texas at Arlington College of Business~~

~~(c) The University of Texas at Arlington College of Education~~

~~(d) The University of Texas at Arlington College of Engineering~~

~~(e) The University of Texas at Arlington Graduate School~~

~~(f) The University of Texas at Arlington Honors College~~

~~(g) The University of Texas at Arlington College of Liberal Arts~~

**The University of Texas System
Rules and Regulations of the Board of Regents**

Rule: 40601

- ~~(h) The University of Texas at Arlington College of Nursing and Health Innovation~~
- ~~(i) The University of Texas at Arlington College of Science~~
- ~~(j) The University of Texas at Arlington School of Social Work~~
- ~~(k) The University of Texas at Arlington University College~~
- 1.4 (b) The University of Texas at Austin (U. T. Austin)
 - ~~(a) The University of Texas at Austin School of Architecture~~
 - ~~(b) The University of Texas at Austin McCombs School of Business~~
 - ~~(c) The University of Texas at Austin College of Communication~~
 - ~~(d) The University of Texas at Austin Division of Continuing and Extended Education~~
 - ~~(e) The University of Texas at Austin College of Education~~
 - ~~(f) The University of Texas at Austin Cockrell School of Engineering~~
 - ~~(g) The University of Texas at Austin College of Fine Arts~~
 - ~~(h) The University of Texas at Austin John A. and Katherine G. Jackson School of Geosciences~~
 - ~~(i) The University of Texas at Austin Graduate School~~
 - ~~(j) The University of Texas at Austin School of Information~~
 - ~~(k) The University of Texas at Austin School of Law~~

**The University of Texas System
Rules and Regulations of the Board of Regents**

Rule: 40601

- ~~(l) The University of Texas at Austin LBJ School of Public Affairs~~
- ~~(m) The University of Texas at Austin College of Liberal Arts~~
- ~~(n) The University of Texas at Austin McDonald Observatory at Mount Locke (U. T. Austin McDonald Observatory)~~
- ~~(o) The University of Texas at Austin Dell Medical School~~
- ~~(p) The University of Texas at Austin College of Natural Sciences~~
- ~~(q) The University of Texas at Austin School of Nursing~~
- ~~(r) The University of Texas at Austin College of Pharmacy~~
- ~~(s) The University of Texas at Austin School of Social Work~~
- ~~(t) The University of Texas at Austin School of Undergraduate Studies~~
- 4.5 (c) The University of Texas at Brownsville (U. T. Brownsville)
- 4.6 (d) The University of Texas at Dallas (U. T. Dallas)
 - ~~(a) The University of Texas at Dallas School of Arts and Humanities~~
 - ~~(b) The University of Texas at Dallas School of Arts, Technology, and Emerging Communication~~
 - ~~(c) The University of Texas at Dallas School of Behavioral and Brain Sciences~~
 - ~~(d) The University of Texas at Dallas Callier Center for Communication Disorders~~
 - ~~(e) The University of Texas at Dallas School of Economic, Political and Policy Sciences~~

**The University of Texas System
Rules and Regulations of the Board of Regents**

Rule: 40601

~~(f) The University of Texas at Dallas Erik Jonsson
School of Engineering and Computer Science~~

~~(g) The University of Texas at Dallas Honors College~~

~~(h) The University of Texas at Dallas School of
Interdisciplinary Studies~~

~~(i) The University of Texas at Dallas Naveen Jindal
School of Management~~

~~(j) The University of Texas at Dallas School of Natural
Sciences and Mathematics~~

4.7 (e) The University of Texas at El Paso (U. T. El Paso)

~~(a) The University of Texas at El Paso College of
Business Administration~~

~~(b) The University of Texas at El Paso College of
Education~~

~~(c) The University of Texas at El Paso College of
Engineering~~

~~(d) The University of Texas at El Paso Graduate School~~

~~(e) The University of Texas at El Paso College of Health
Sciences~~

~~(f) The University of Texas at El Paso College of Liberal
Arts~~

~~(g) The University of Texas at El Paso College of Natural
Sciences~~

~~(h) The University of Texas at El Paso School of Nursing~~

~~(i) The University of Texas at El Paso School of
Pharmacy~~

~~(j) The University of Texas at El Paso College of Science~~

~~(k) The University of Texas at El Paso University College~~

**The University of Texas System
Rules and Regulations of the Board of Regents**

Rule: 40601

- 1.8 ~~(f)~~ The University of Texas of the Permian Basin (U. T. Permian Basin)
- ~~(a) The University of Texas of the Permian Basin College of Arts and Sciences~~
 - ~~(b) The University of Texas of the Permian Basin College of Business and Engineering~~
 - ~~(c) The University of Texas of the Permian Basin College of Education~~
- 1.9 ~~(g)~~ The University of Texas Rio Grande Valley (U. T. Rio Grande Valley)
- ~~(a) The University of Texas Rio Grande Valley College of Business and Entrepreneurship~~
 - ~~(b) The University of Texas Rio Grande Valley College of Education and P-16 Integration~~
 - ~~(c) The University of Texas Rio Grande Valley College of Engineering and Computer Science~~
 - ~~(d) The University of Texas Rio Grande Valley College of Fine Arts~~
 - ~~(e) The University of Texas Rio Grande Valley Graduate College~~
 - ~~(f) The University of Texas Rio Grande Valley College of Health Affairs~~
 - ~~(g) The University of Texas Rio Grande Valley Honors College~~
 - ~~(h) The University of Texas Rio Grande Valley College of Liberal Arts~~
 - ~~(i) The University of Texas Rio Grande Valley College of Medicine~~
 - ~~(j) The University of Texas Rio Grande Valley College of Sciences~~

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~~(k) The University of Texas Rio Grande Valley University College~~

4.10 (h) The University of Texas at San Antonio (U. T. San Antonio)

~~(a) The University of Texas at San Antonio College of Architecture, Construction and Planning~~

~~(b) The University of Texas at San Antonio College of Business~~

~~(c) The University of Texas at San Antonio College of Education and Human Development~~

~~(d) The University of Texas at San Antonio College of Engineering~~

~~(e) The University of Texas at San Antonio Honors College~~

~~(f) The University of Texas at San Antonio College of Liberal and Fine Arts~~

~~(g) The University of Texas at San Antonio College of Public Policy~~

~~(h) The University of Texas at San Antonio College of Sciences~~

~~(i) The University of Texas Institute of Texan Cultures at San Antonio (U. T. Institute of Texan Cultures—San Antonio)~~

~~(j) The University of Texas at San Antonio Downtown Campus (U. T. San Antonio Downtown Campus)~~

4.11 (i) The University of Texas at Tyler (U. T. Tyler)

~~(a) The University of Texas at Tyler College of Arts and Sciences~~

~~(b) The University of Texas at Tyler College of Business and Technology~~

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~~(c) The University of Texas at Tyler College of Education and Psychology~~

~~(d) The University of Texas at Tyler College of Engineering~~

~~(e) The University of Texas at Tyler College of Nursing and Health Sciences~~

~~(f) The University of Texas at Tyler Ben and Maytee Fisch College of Pharmacy~~

~~(g) The University of Texas at Tyler University College~~

1.121.4 Health Institutions of the U. T. System are:

(a) The University of Texas Southwestern Medical Center (U. T. Southwestern Medical Center)

~~(a) The University of Texas Southwestern Graduate School of Biomedical Sciences (U. T. Southwestern G.S.B.S.)~~

~~(b) The University of Texas Southwestern Medical School (U. T. Southwestern Medical School)~~

~~(c) The University of Texas Southwestern School of Health Professions (U. T. Southwestern School of Health Professions)~~

~~(d) The University of Texas Southwestern Medical Center University Hospitals and Clinics (U. T. Southwestern University Hospitals and Clinics)~~

1.13 (b) The University of Texas Medical Branch at Galveston (U. T. Medical Branch - Galveston)

~~(a) The University of Texas Graduate School of Biomedical Sciences at Galveston (U. T. G.S.B.S. - Galveston)~~

~~(b) The University of Texas Hospitals at Galveston (U. T. Hospitals - Galveston)~~

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- ~~(c) The University of Texas School of Nursing at Galveston (U. T. Nursing School – Galveston)~~
- ~~(d) The University of Texas Medical Branch at Galveston School of Health Professions (U. T. School of Health Professions – Galveston)~~
- ~~(e) The University of Texas Medical School at Galveston (U. T. Medical School – Galveston)~~
- 1.14 (c) The University of Texas Health Science Center at Houston (U. T. Health Science Center - Houston)
 - ~~(a) The University of Texas School of Dentistry at Houston (U. T. School of Dentistry – Houston)~~
 - ~~(b) The University of Texas Graduate School of Biomedical Sciences at Houston (U. T. G.S.B.S. – Houston) [operated jointly with U. T. M. D. Anderson Cancer Center (1.17d)]~~
 - ~~(c) The University of Texas John P. and Kathrine G. McGovern Medical School at Houston (U. T. John P. and Kathrine G. McGovern Medical School – Houston)~~
 - ~~(d) The University of Texas School of Biomedical Informatics at Houston (U. T. Biomedical Informatics – Houston)~~
 - ~~(e) The University of Texas School of Nursing at Houston (U. T. Nursing School – Houston)~~
 - ~~(f) The University of Texas School of Public Health at Houston (U. T. Public Health School – Houston)~~
- 1.15 (d) The University of Texas Health Science Center at San Antonio (U. T. Health Science Center - San Antonio)
 - ~~(a) The University of Texas Health Science Center at San Antonio School of Dentistry (U. T. School of Dentistry – San Antonio)~~
 - ~~(b) The University of Texas Health Science Center at San Antonio Graduate School of Biomedical Sciences (U. T. G.S.B.S. – San Antonio)~~

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- ~~(c) The University of Texas Health Science Center at San Antonio School of Health Professions (U. T. School of Health Professions—San Antonio)~~
- ~~(d) The University of Texas Health Science Center at San Antonio School of Medicine (U. T. School of Medicine—San Antonio)~~
- ~~(e) The University of Texas Health Science Center at San Antonio School of Nursing (U. T. School of Nursing—San Antonio)~~
- 1.16 (e) The University of Texas M. D. Anderson Cancer Center (U. T. M. D. Anderson Cancer Center)
 - ~~(a) The University of Texas M. D. Anderson Hospital (U. T. M. D. Anderson Hospital)~~
 - ~~(b) The University of Texas M. D. Anderson Science Park (U. T. M. D. Anderson Science Park)~~
 - ~~(c) The University of Texas M. D. Anderson Cancer Center School of Health Professions (U. T. M. D. Anderson School of Health Professions)~~
 - ~~(d) The University of Texas Graduate School of Biomedical Sciences at Houston (U. T. G.S.B.S.—Houston) [operated jointly with U. T. Health Science Center—Houston (1.15b)]~~
- 1.17 (f) The University of Texas Health Science Center at Tyler (U. T. Health Science Center - Tyler)
 - ~~(a) The University of Texas Health Science Center at Tyler School of Medical Biological Sciences (U. T. Health Science Center—Tyler School of Medical Biological Sciences)~~
 - ~~(b) The University of Texas Health Science Center at Tyler Hospital (U. T. Health Northeast)~~

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Sec. 2 Other Entities Within an Institution

Sec. 2.1 The establishment of a college or school requires approval by the Board of Regents, upon recommendation of the president, the appropriate Executive Vice Chancellor, the Deputy Chancellor, and the Chancellor.

Sec. 2.2 The establishment of a department or similar academic unit requires approval by the appropriate Executive Vice Chancellor, upon the recommendation of the president.

Sec. 2.3 Approval of the naming of a college, school, department, and other entity in honor of a donor or other individual shall be according to Regents' Rule 80307.

Sec. 2.4 A nonsubstantive change to the name of an established college, school, or department shall be approved by the appropriate Executive Vice Chancellor.

7. U. T. System Board of Regents: Discussion and appropriate action regarding amendment of Regents' Rules and Regulations, Rule 50501, Liability Insurance for Students, concerning medical students enrolled in academic institutions

RECOMMENDATION

With the concurrence of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Health Affairs, the Executive Vice Chancellor for Business Affairs, and the Vice Chancellor and General Counsel, the Chancellor recommends that Regents' *Rules and Regulations*, Rule 50501, regarding Liability Insurance for Students, be amended as set forth below in congressional style, to ensure the same liability insurance requirements for students enrolled in a U. T. System health institution apply to students enrolled in medical schools at U. T. System academic institutions.

- Sec. 1 Students Enrolled in Health Institutions and Medical Schools at Academic Institutions. All students enrolled in a health institution or a medical school at an academic institution of the U. T. System in a program that involves direct patient care activities shall be required to purchase professional liability insurance as a prerequisite to enrollment. The appropriate level of coverage shall be determined by the U. T. System Office of Risk Management. The requirement shall be included in each institution's catalog.
- Sec. ~~21~~ 24 Students in Field Experience Courses. The institutions of ~~the~~ the University of Texas U. T. System may require students enrolled in field experience courses to show evidence of student liability insurance when enrolled in field experience courses, which utilize off-campus facilities, if such facilities require the insurance. The requirement shall be included in each institution's catalog.
- Sec. ~~32~~ 32 Students in Allied Health and Nursing. Allied health and nursing students shall, prior to official registration provide evidence of professional liability (malpractice) insurance coverage in a minimum amount determined by the president of the institution. Nursing students receiving stipends may be reimbursed for this fee through that source. The requirement shall be included in each institution's catalog.
- Sec. ~~43~~ 43 Students in Pharmacy. All pharmacy students enrolling in fifth-year clinical and/or pharmacy internship courses shall provide evidence of professional liability insurance coverage paid for the duration of the course or courses as a prerequisite to enrollment. The effective date of the policy shall be on or before the first regular class period of the clinical and/or pharmacy internship course for which the student is enrolling. The requirement shall be included in each institution's catalog.
- ~~Sec. 4 — Students Enrolled in Health Institutions. All students enrolled in a health institution of the U. T. System in a program that involves direct patient care activities shall be required to purchase professional liability insurance as a prerequisite to enrollment. Such coverage shall be for at least \$5,000 per incident/\$15,000 per year, however, the chief administrative officer of the institution may set higher minimum amounts for~~

~~specific programs that involve greater risk. This policy does not eliminate the requirement for nursing students enrolled in a general academic institution. The requirement shall be included in each institution's catalog.~~

BACKGROUND INFORMATION

The proposed amendments to Regents' Rule 50501 clarify the language in the Rule to ensure the same liability insurance requirements apply to the students enrolled in the medical schools at the academic institutions. The proposed amendments also remove the professional liability thresholds and provide flexibility to the Office of Risk Management to establish the appropriate levels of coverage.

8. **U. T. System Board of Regents: Discussion and appropriate action regarding amendment of Regents' Rules and Regulations, Rule 80307, Naming Policy, concerning process of addressing requests from institutions for both prominent and less prominent namings**

RECOMMENDATION

The Chancellor, with the concurrence of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Health Affairs, the Vice Chancellor and General Counsel, and the Vice Chancellor for External Relations, recommends that Regents' *Rules and Regulations*, Rule 80307, be amended as set forth in congressional style on the following pages.

BACKGROUND INFORMATION

Philanthropy continues to have an ever increasing impact on a university's sustainable funding stream. With significant efforts across U. T. System institutions to secure philanthropic gifts, the number of requests to negotiate naming opportunities has continued to increase. Therefore, it is important to amend current authorization processes to allow institutions to meet with benefactors and negotiate gifts with greater expediency.

The current Naming Policy was established in 2004, with modest, subsequent amendments over the years. The new proposed amendments will (1) allow U. T. System institutions to enter into conversations and preliminary negotiations with prospective donors in a more timely and efficient manner, and (2) delegate more responsibility from the Board to the U. T. System on naming requests, while still ensuring the highest degree of due diligence and scrutiny is practiced.

The Vice Chancellor for External Relations coordinates the due diligence review on behalf of the Board of Regents, the Chancellor, the Deputy Chancellor, and the Executive Vice Chancellor for Health or Academic Affairs. The review, at a minimum, involves the following offices and processes:

- The Board Office determines whether any member of the Board of Regents has a "substantial interest" in a business entity, as defined in Section 51.923 of the *Texas Education Code*.
- The Office of General Counsel reviews the gift negotiation proposal for any legal issues that might affect the propriety of the naming or for corporate namings, other issues that may reflect on the company or its directors.
- If the naming request is for a corporation, the Office of Finance reviews the proposal to confirm whether a facility was financed using tax-exempt debt.
- The Office of External Relations evaluates the gift history of the prospective donor and reviews the proposed gift amount to ensure that it meets naming level expectations. The Vice Chancellor for External Relations, in consultation with the appropriate Executive Vice Chancellor, determines whether the area or entity to be named is considered

prominent or less prominent, as defined in Rule 80307. Additionally, the Vice Chancellor for External Relations consults with the Chancellor and institution president to consider all circumstances surrounding the naming, including the overall benefit to the institution and whether displaying the name is and will continue to be a positive reflection on the institution. After completing all due diligence activities, the Vice Chancellor makes the recommendation for naming requests to the Chancellor.

The recommended changes are summarized as follows: **Section 1.2** is proposed to be amended to extend the time allowed to negotiate a gift agreement involving a naming. The amendment will extend the time period for the institution president and Vice Chancellor for External Relations to conclude negotiations and offer a naming (from 180 days to 365 days).

It is further recommended that **Section 2** be amended to create a new category (**Section 2.2**) called "Other" Prominent Facilities and Programs. Currently, many facilities and programs fall under one large category of Prominent Facilities and Programs, necessitating a high degree of requests to be submitted to the Board of Regents for approval that have already undergone significant review and due diligence by several U. T. System executive offices. This new proposal recommends that the Board continue to approve all requests to name buildings, athletics facilities, colleges, schools, academic departments and clinical divisions, with delegation of authority to the Chancellor to approve namings in a category called "Other" Prominent Facilities and Programs, including large components of major buildings and athletic facilities, large auditoria, concert halls, atria, prominent outdoor spaces, and clinics, and non-physical entities such as academic and health programs, centers and institutes.

Proposed amendments to **Section 5** offer clarification of authority to grant an honorific naming for an individual who has made exemplary or meritorious contributions to the U. T. System or to society. Under this amendment, the Board will continue to approve an honorific naming associated with Prominent Facilities and Programs and Other Prominent Facilities and Programs, while the institution president may approve an honorific naming associated with Less Prominent Facilities and Programs. On the rare occasion of a corporate honorific naming of Less Prominent Facilities and Programs, the approval of the Chancellor will be required.

Proposed amendments to **Section 7** outline the due diligence processes essential to ensure no impermissible conflicts or legal issues. Other clarification is offered regarding restrictions of any corporate naming for academic and health facilities, colleges, schools, and academic departments, and the consideration of a corporate naming for non-academic and non-health facilities, such as conference centers, and athletics, museum, or arts facilities, with preference given to term limits. Current language in Section 7 regarding development campaigns is being deleted as approval requirements related to the naming of prominent facilities are equally applicable regardless of whether an institution is involved in a campaign, and because such development campaigns are already covered in Regents' Rule 60301.

Changes to the Namings Approvals Chart in **Section 9** reflect the proposed amendments to Sections 2, 5, and 7, and to the Definitions, as explained above.

**The University of Texas System
Rules and Regulations of the Board of Regents**

Rule: 80307

1. Title

Naming Policy

2. Rules and Regulation

Sec. 1 General. Before proceeding with any naming, institutions must carefully consider all circumstances surrounding the naming, including the overall benefit to the institution and whether displaying the name is and will continue to be a positive reflection on the institution.

1.1 Review. Any naming of Facilities and Programs must undergo a high level of consideration and due diligence to ensure that the name comports with the purpose and mission of the U. T. System and the U. T. System institutions. No naming shall be permitted for any corporation or individual whose public image, products, or services may conflict with such purpose and mission.

1.2 Time Limitation for Approval. Naming approvals granted under this Rule are valid for a period not to exceed ~~180~~ 365 days from the date of approval. After approval of a naming, the negotiated gift agreement must be executed within ~~180~~ 365 days of that approval. If that does not occur, the naming must be resubmitted for approval by the Board of Regents through ~~to~~ the Vice Chancellor for External Relations unless the Chancellor approves a one-time, 90-day extension of the naming approval, consistent with the requirements of Section 2 below.

Sec. 2 Naming of Prominent Facilities and Prominent Programs.

2.1 Each naming for a Prominent Facility or Prominent Program Naming must be approved by the Board of Regents via the agenda. Recommendations for namings of any Prominent Naming university building or athletic facility, college, school, and academic department or clinical division shall be forwarded to the Board of Regents with recommendations of the Chancellor, the Deputy Chancellor, the Executive Vice Chancellor for Academic or Health Affairs, the Vice Chancellor for External Relations, and the president of the institution, according to procedures established by the Office of External Relations.

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2.2 Naming of Other Prominent Facilities and Programs. Each naming for Other Prominent Facilities and Other Prominent Programs may be approved by the Chancellor with recommendations of the Deputy Chancellor, the Executive Vice Chancellor for Academic or Health Affairs, the Vice Chancellor for External Relations, and the president of the institution, according to procedures established by the Office of External Relations. Other Prominent Facilities and Programs may include wings and other major components of academic, medical, athletics, and arts facilities, large auditoria, concert halls, atria, prominent outdoor spaces, and clinics and academic and health programs, centers, institutes, and organized research units. The Vice Chancellor for External Relations, in consultation with the appropriate Executive Vice Chancellor, will make final determinations concerning what types of Facilities and Programs will be considered Other Prominent.

- Sec. 3 Naming of Less Prominent Facilities and Less Prominent Programs. The Board of Regents has delegated naming authority for Less Prominent Facilities and Less Prominent Programs to each president based on a set of general guidelines that are reviewed and approved by the Chancellor, except that any Corporate Naming requires approval by the Chancellor and compliance with the procedures set forth below in Section 8, including the requirement for advance consultation. The Vice Chancellor for External Relations, through consultation with the appropriate Executive Vice Chancellor and the U. T. System institutions, will make final determinations concerning what types of Facilities and Programs may be considered Less Prominent.
- Sec. 4 Naming of Streets. The naming of all streets located on campus must be approved by the Board of Regents. Recommendations for any street names shall be forwarded to the Board of Regents with recommendations of the Chancellor, the Deputy Chancellor, the Executive Vice Chancellor for Academic or Health Affairs, the Vice Chancellor for External Relations, and the president of the institution.
- Sec. 5 Honoric Naming. Under appropriate circumstances, Less Prominent Facilities and Programs may be named for individuals who have made exemplary or meritorious contributions to the U. T. System or any of the institutions or

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society. Those namings may be granted by the president of the institution. Any naming in honor of campus administrative officials, faculty, staff, or elected or appointed public officials shall normally occur only after the campus employment or public service has concluded. Honorific namings of Prominent Facilities and Programs or Other Prominent Facilities and Programs for individuals must be approved by the Board of Regents. Requests shall be forwarded to the Board of Regents with the recommendations of the Chancellor, the Deputy Chancellor, the Executive Vice Chancellor for Academic or Health Affairs, the Vice Chancellor for External Relations, and the president of the institution.

Sec. 6 Gift-Related Naming. Facilities and Programs may be named under the terms of a negotiated gift agreement to memorialize or otherwise recognize substantial gifts and significant donors or individuals designated by donors. Each institution shall develop guidelines for what constitutes substantial and significant donations to warrant a gift-related naming. Institutional donor guidelines must be approved by the Executive Vice Chancellor for Academic Affairs or Health Affairs, the Vice Chancellor for External Relations, and the Vice Chancellor and General Counsel for inclusion in the institutional *Handbook of Operating Procedures*.

~~Sec. 7 Naming Related to Development Campaign. When a Prominent Naming is contemplated as part of a development campaign, that campaign, the proposed naming, and the associated private fund contributions to be sought shall have prior approval of the institution's president, the Executive Vice Chancellor for Academic Affairs or Health Affairs, the Vice Chancellor for External Relations, the Deputy Chancellor, the Chancellor, and the Board of Regents as required in Rule 60301 of the Regents' Rules and Regulations concerning the development board of an institution.~~

Sec. ~~7~~8 Corporate Naming. Each Corporate Naming for Prominent Facilities or Programs must be approved by the Board of Regents. Each Corporate Naming for Other Prominent Facilities and Programs or Less Prominent Facilities or Programs must be approved by the Chancellor.

~~7~~8.1 Special Considerations. The Office of External Relations must complete a detailed due diligence review, in accordance with policies and procedures established by that office, of the corporation prior to any Corporate

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Naming. Each Corporate Naming must be analyzed by the Office of External Relations, the Office of the Board of Regents, the Office of General Counsel, and the Office of Business Affairs to ensure that there are no impermissible conflicts or legal issues of interest. Certain restrictions may also apply to any proposed naming of a Facility financed with the proceeds of tax-exempt bonds.

Corporate namings for academic and health buildings, colleges and schools, and academic departments shall not occur, with the exception of rare and special circumstances.

Corporate namings for athletics facilities, arts facilities, and museums, conference centers, and non-academic and non-health facilities may receive consideration with preference given to term limits for corporate namings.

~~78~~.2 Procedures for Corporate Naming. Before negotiating a possible Corporate Naming, the president shall send a written request, in compliance with procedures established by the Office of External Relations, to the Executive Vice Chancellor for Academic or Health Affairs. Except in the case of Less Prominent Facilities or Programs, the institution shall negotiate an agreement with the corporation, using the Standard Corporate Naming Gift/Licensing Agreement prepared by the Office of General Counsel. Any substantive variations to the standard agreement must be approved by the Office of General Counsel. The Executive Vice Chancellor for Academic or Health Affairs shall have authority to sign such agreements after appropriate review and approval.

Sec. ~~89~~ Changes to Approved or Existing Names of Prominent Facilities, Programs, and Streets and Nonhonorific Redesignation. Minor changes to approved or existing names of Prominent Facilities, Programs, and Streets as determined by the Vice Chancellor for External Relations and the General Counsel to the Board, may be approved by the Chancellor after review by the Deputy Chancellor, the Executive Vice Chancellor for Academic or Health Affairs, and the president of the institution. Nonhonorific renaming and redesignation of projects in the Capital Improvement Program (CIP) shall be reviewed and approved by the Associate Vice Chancellor for Facilities Planning and Construction. Such approved redesignations will be included in the amended CIP.

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Sec. ~~940~~ Namings Approvals Chart

	Corporate*	Non-Corporate	<u>Honorific</u>
<u>Namings for Prominent Facilities and Programs**</u>	Board of Regents	Board of Regents	<u>Board of Regents</u>
<u>Namings for Other Prominent Facilities and Programs***</u>	<u>Chancellor</u>	<u>Chancellor</u>	<u>Board of Regents</u>
<u>Less Prominent Facilities and Programs****</u>	Chancellor	Institutional President	<u>Institutional President</u>

* In addition to the approvals specified in this chart, all requests for Corporate Naming must be forwarded in writing by the institution's president to the Executive Vice Chancellor for Academic or Health Affairs (as appropriate), the Vice Chancellor for External Relations, and the Office of General Counsel; must be recommended by the Chancellor; and must otherwise comply with specific guidelines relating to Corporate Naming.

** In addition to the approvals specified in this chart, all requests for naming for Prominent Facilities and Programs (as defined in Regents' Rule, [Rule 80307](#)) must be recommended by the Chancellor, the Deputy Chancellor, the Executive Vice Chancellor for Academic or Health Affairs (as appropriate), and the Vice Chancellor for External Relations, and must comply with procedures established by the Office of External Relations. The Vice Chancellor for External Relations, in consultation with the Executive Vice Chancellor for Academic or Health Affairs (as appropriate), makes final determinations as to which Facilities and Programs are considered Prominent.

*** Any naming for Other Prominent Facilities and Programs shall be based on a set of general guidelines that are reviewed and approved by the Chancellor. The Vice Chancellor for External Relations, in consultation with the appropriate Executive Vice Chancellor, makes final determinations as to which Facilities and Programs are considered Other Prominent.

**** Any naming for Less Prominent Facilities and Programs shall be based on a set of general guidelines that are reviewed and approved by the Chancellor. The Vice Chancellor for External Relations, in consultation with the appropriate Executive Vice Chancellor ~~for Academic or Health Affairs (as appropriate)~~, and the institutions makes final determinations as to which Facilities and Programs are considered Less Prominent.

Sec. 1044 Announcements. No institution shall announce the naming of any Facility or Program prior to the final approval required by this rule.

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Rule: 80307

3. Definitions

Facilities - all physical facilities and buildings.

Prominent Facilities - all buildings; athletic facilities;

Other Prominent Facilities - areas such as wings and other of buildings, major components of buildings-academic, medical, athletics, and arts facilities, large auditoria, concert halls, atriums atria, prominent outdoor spaces, and clinics.

Less Prominent Facilities - facilities such as laboratories, classrooms, seminar or meeting rooms, and patient rooms that the Vice Chancellor for External Relations, in consultation with the Executive Vice Chancellor for Academic or Health Affairs, and the U. T. System institutions, determines are less prominent and therefore not within the category of Prominent Facilities.

Programs - all non-physical entities.

Prominent Programs - major entities, such as colleges, schools, academic departments, and clinical divisions and prominent academic centers, programs and institutes.

Other Prominent Programs - academic and health centers, programs, institutes, and organized research units.

Less Prominent Programs - academic centers, programs, and institutes that the Vice Chancellor for External Relations, in consultation with the Executive Vice Chancellor for Academic or Health Affairs, determines are less prominent and therefore not within the category of Prominent Programs.

Corporate Naming - the naming of any Facility or Program after a corporate or other business-oriented entity.

Prominent Naming - the naming of Prominent Facilities or Prominent Programs.

9. U. T. System: Report on strategic Quantum Leaps initiatives

REPORT

Chancellor McRaven will report on implementation of strategic Quantum Leaps initiatives at the U. T. System.

BACKGROUND INFORMATION

On November 5, 2015, Chancellor McRaven presented his strategic vision and mission for the U. T. System following a presentation, Leading in a Complex World, a Strategic Approach, 2015-2020. He outlined the following eight Quantum Leaps for the U. T. System:

1. Texas Prospect Initiative
2. The American Leadership Program
3. Winning the Talent War
4. Enhancing Fairness and Opportunity
5. The U. T. Health Care Enterprise
6. Leading the Brain Health Revolution
7. The U. T. Network for National Security
8. U. T. System Expansion in Houston

This presentation is the first in a series of periodic updates on the status of implementation of the eight initiatives.

10. U. T. System: Approval of allocation of \$30 million of Permanent University Fund Bond Proceeds for the enhancement of the Science and Technology Acquisition and Retention (STARs) Program to include an allocation of \$20 million for expansion of the Rising STARs program

RECOMMENDATION

The Chancellor, with the concurrence of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Business Affairs, and the Executive Vice Chancellor for Health Affairs, recommends an allocation of \$30 million from PUF Bond Proceeds be appropriated through the Science and Technology Acquisition and Retention (Faculty STARs) Program in addition to funds already allocated to that program for Fiscal Year 2016, with \$20 million of the proposed additional allocation to provide funding to build and enhance research infrastructure to attract and retain the best qualified entry-faculty for a Rising STARs program and \$10 million to be used to further expand the recruitment of senior faculty.

This recommendation is made with the understanding that PUF Bond Proceeds appropriated must be spent in accordance with the Article VII, Section 18 of the Texas Constitution and may only be used for the purpose of acquiring land either with or without permanent improvements, constructing and equipping buildings or other permanent improvements, major repair and rehabilitation of buildings and other permanent improvements, acquiring capital equipment, and acquiring library books and library materials.

BACKGROUND INFORMATION

The investment of an additional appropriation for the STARs program will continue the unprecedented commitment of the Board of Regents toward bringing world-class scholars, teachers, and researchers to the U. T. System and is supportive of Chancellor McRaven's strategic initiative Quantum Leap, Winning the Talent War. The recommended appropriation of \$30 million provides for \$10 million to the enhancement of the STARs program and \$20 million toward the expansion of Rising STARs.

Through a competitive proposal process determined by U. T. System Administration, funds will be distributed for the purpose of recruiting or retaining top researchers and to recruit and retain outstanding entry-level faculty.

The STARs program, created in 2004, has yielded outstanding investment returns through strengthening the research and teaching faculty across the entire U. T. System. The STARs program awards are capitalized by an allocation of PUF Bond Proceeds at \$30 million annually, to be available to all U. T. System academic and health institutions, and are supplemented on a per-recruitment basis through institutional resources. The \$100 million investment to date has yielded a return of more than \$650 million.

In 2010, the Board of Regents recognized the need to recruit outstanding faculty at the entry level, e.g. postdoctoral fellows poised to assume faculty positions or early-state assistant professors. Initially, Rising STARs was developed with a sub-allocation of \$5 million from the existing STARs program appropriation, for the specific recruitment of promising researchers into tenure track positions. Rising STARs has strongly persisted over the years, mainly in the health

institutions due to the increasingly competitive market for emerging health talent. The recommended new appropriation of \$20 million will expand the Rising STARS program to also include a focus on hiring clusters of great entry-level faculty, coupled with an incentive program to retain U. T. System's best post-doctoral candidates.

Data from early Rising STARS recruitment efforts reflect that the \$7.5 million investment to date has yielded a return on investment of \$25.7 million. To assure a continued strong pipeline of talent throughout the U. T. System and the state of Texas, the additional appropriation to STARS and Rising STARS will sustain the full commitment of the Board of Regents.

11. U. T. System: Approval of \$5 million in additional Permanent University Fund Bond Proceeds for continued funding of the U. T. System Research Incentive Program

RECOMMENDATION

The Chancellor, with the concurrence of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Business Affairs, and the Vice Chancellor for External Relations, recommends an additional \$5 million of Permanent University Fund (PUF) Bond Proceeds be appropriated for Fiscal Year 2015 to provide continued funding for The University of Texas System Research Incentive Program (UTRIP) to enhance and enrich research infrastructure to benefit the four emerging research institutions designated by the Texas Higher Education Coordinating Board: The University of Texas at Arlington, The University of Texas at Dallas, The University of Texas at El Paso, and The University of Texas at San Antonio.

BACKGROUND INFORMATION

The 81st Texas Legislature authorized the Texas Research Incentive Program (TRIP) to provide State matching funds for research-oriented philanthropy at the seven emerging research institutions of Texas, as designated by the Texas Higher Education Coordinating Board. Among those seven are U. T. Arlington, U. T. Dallas, U. T. El Paso, and U. T. San Antonio. Through the 84th Legislative Session, the Texas Legislature has allocated a total of \$291.2 million in TRIP matching funds for the program.

On August 20, 2009, the U. T. System Board of Regents (Board) authorized Vice Chancellor Safady to act on behalf of the Board to facilitate the acceptance of gifts by U. T. System institutions that qualified for matching under the TRIP, as appropriate, and to work closely with U. T. System institutions to ensure compliance with requirements of the Texas Higher Education Coordinating Board related to this Program.

On October 12, 2009, the Board appropriated \$10 million of PUF Bond Proceeds to provide one-time matching funds through UTRIP to assist the four U. T. System institutions, identified above, in leveraging private gifts for the enhancement of research productivity and faculty recruitment. According to the Texas Constitution, PUF Bond Proceeds may only be used to fund capital and equipment items related to the educational mission of the U. T. System and the U. T. System institutions.

The gifts were to be matched using the following criteria:

- Gifts of \$500,000 to \$999,999 from a single source will be matched at 10% (creating a matching gift possibility ranging from \$50,000 to \$99,999)
- Gifts of \$1 million to \$2,999,999 from a single source will be matched at 20% (creating a matching gift possibility ranging from \$200,000 to \$599,999)

- Gifts of \$3 million to \$4,999,999 from a single source will be matched at 30% (creating a matching gift possibility ranging from \$900,000 to \$1,499,999)
- Gifts of \$5 million or greater from a single source will be matched at 50% (with a matching cap of \$2.5 million)

On August 12, 2010, the Board authorized an additional \$10 million to continue and extend UTRIP through December 31, 2011, to benefit the U. T. System's four emerging research universities subject to the matching requirements approved by the Board on October 12, 2009, with a modification to allow matches to also be made for gifts with a payment period of up to two years. The Program could continue with the use of the previously allocated \$10 million and the allocation of an additional \$10 million for a total of \$20 million.

On February 9, 2012, the Board authorized another \$10 million to continue and extend UTRIP, subject to the matching requirements approved by the Board on October 12, 2009, and modified on August 12, 2010. The Program could continue with the use of the previously allocated \$20 million and the allocation of an additional \$10 million, for a total of \$30 million.

Again on May 15, 2014, the Board authorized an additional \$10 million to continue and extend UTRIP, subject to the matching requirements approved by the Board on October 12, 2009, and modified on August 12, 2010. The Program could continue with the use of the previously allocated \$30 million and the allocation of an additional \$10 million, for a total of \$40 million.

The four U. T. System institutions have greatly benefited from these programs, and the leveraging of private gifts for the enhancement of research productivity and faculty recruitment has resulted in more than \$143 million secured from the Coordinating Board's TRIP funds. The funding made available through the Board's UTRIP fund has further leveraged private gifts. Since the Board authorized UTRIP, over \$142 million in private gifts have been submitted for matching and \$40 million in matching UTRIP funds have been paid or committed by the U. T. System.

Of the \$40 million of UTRIP funds, U. T. Arlington has received \$4,144,599, U. T. Dallas has received \$27,898,562, U. T. El Paso has received \$3,717,243, and U. T. San Antonio has received \$4,239,596, so that the current balance of UTRIP funding has now been fully exhausted. Continued funding is important to ensure momentum with current gift negotiations.

12. **U. T. System: Report on development performance for the U. T. System institutions**

REPORT

Vice Chancellor Safady will report on development performance of the U. T. System institutions for Fiscal Year 2015 and make recommendations for advancing philanthropic support, using the PowerPoint presentation set forth on the following pages.

U. T. System Development Assessment FY 2015

Dr. Randa Safady, Vice Chancellor for External Relations

U. T. System Board of Regents' Meeting
February 2016



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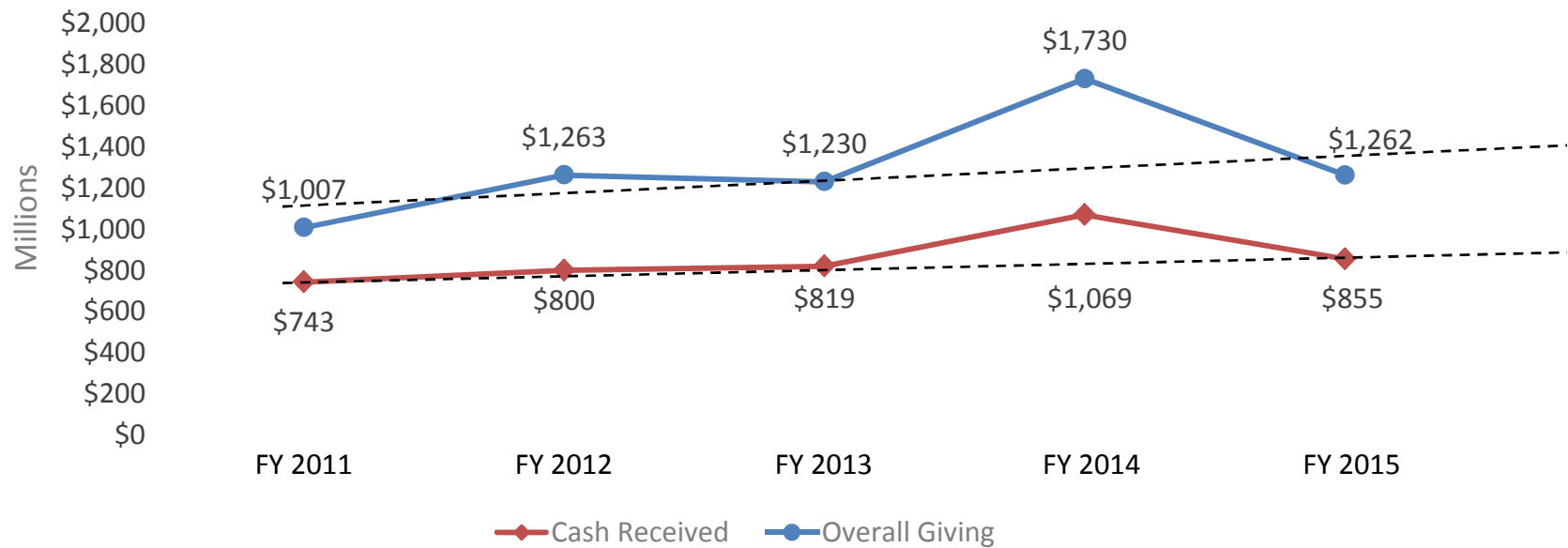
Philanthropy and the U.T. System

- Results and Impact
- Where We Are at Risk
- Mitigating Risk
- Desired Outcomes



Results and Impact

Overall Giving and Cash Received FY 2011-FY 2015



Results and Impact

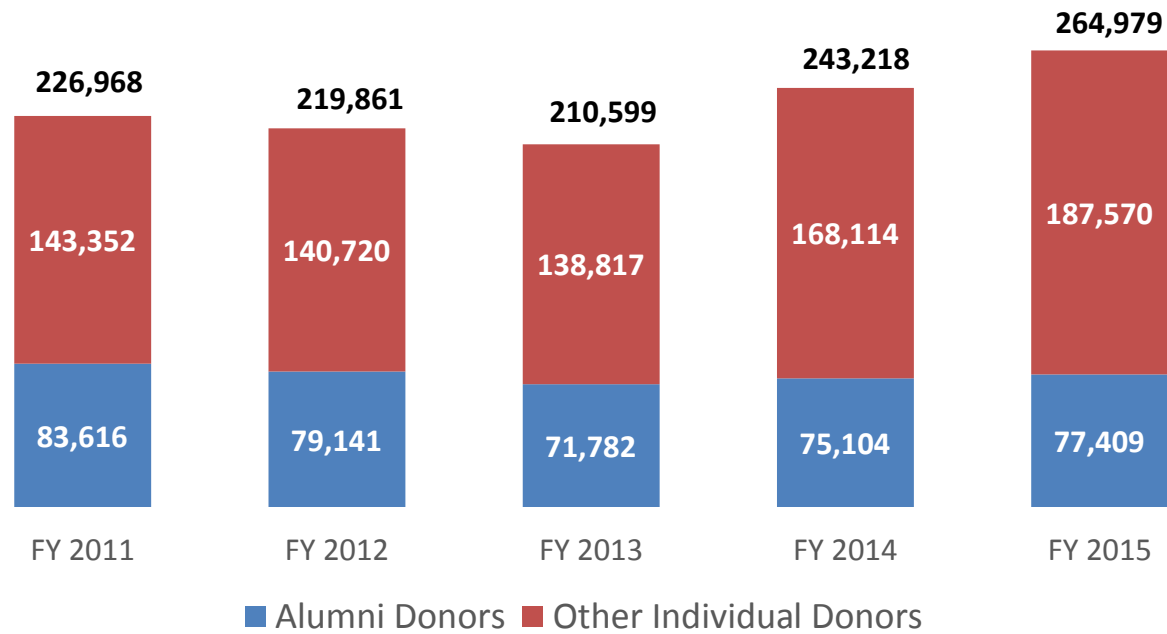
Overall Giving by Type of Institution

TYPE	<\$10M	\$10-\$24M	\$25-\$49M	\$50-\$99M	>\$100M
Academic	4	3	1		1
Health	1			2	3



Results and Impact

Individual Donor Count



Results and Impact

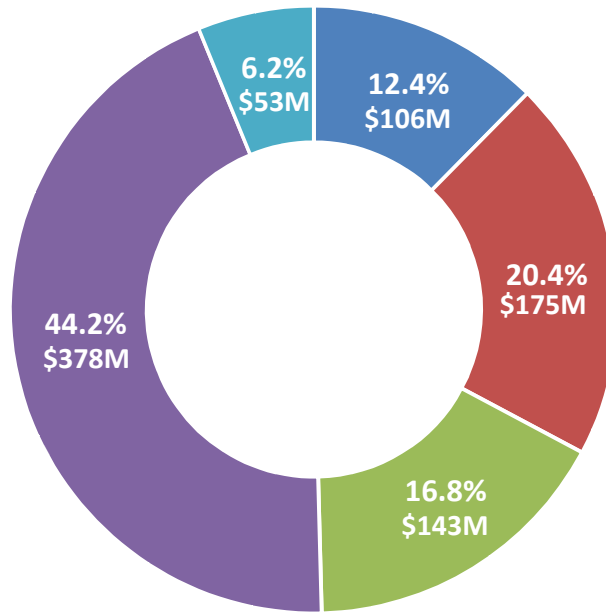
Individual Donor Count (cont.)

- Giving by individuals, family foundations, and bequests represents 87% of total giving nationally (Giving USA)
- Major gift donors often begin their philanthropy by making annual gifts over several years (Ruffalo Noel Levitz)
- Loyalty and consistency are qualities of major gift donors



Results and Impact

Sources of Gifts

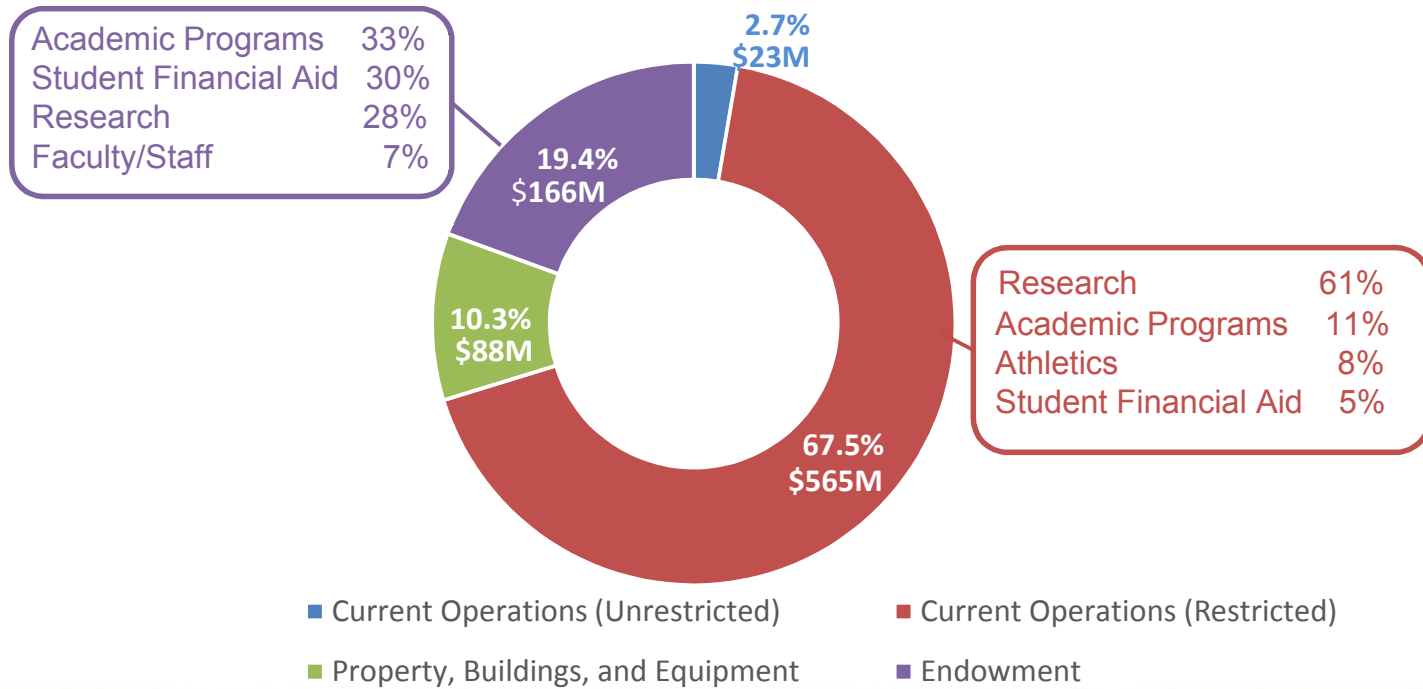


■ Alumni ■ Non-Alumni ■ Corporation ■ Foundation ■ Other



Results and Impact

FY 2015 Designation of Funds



Results and Impact

FY 2015 Endowment Distributions

- Distributions from endowments previously established by philanthropic gifts
 - UTIMCO Long Term Fund (LTF) distributions \$317M
 - U. T. System affiliated foundations distributions \$21.9M



Results and Impact

- \$1.19B cash for use by U. T. System institutions in FY 2015:
 - Cash received from outright gifts \$855M
 - Long Term Fund \$317M (market value \$6.8B)
 - Affiliated foundations \$21.9M (market value \$685.5M)
- \$1.19B is equivalent to 7.5% of U. T. System's Operating Budget Revenue total of \$15.9B



Results and Impact

Return on Investment in Development

- Return on investment based on cash received as reported in the Voluntary Support of Education (VSE) Survey
 - FY 2015 ROI \$8.33
 - FY 2011-FY 2015 average ROI \$9.17

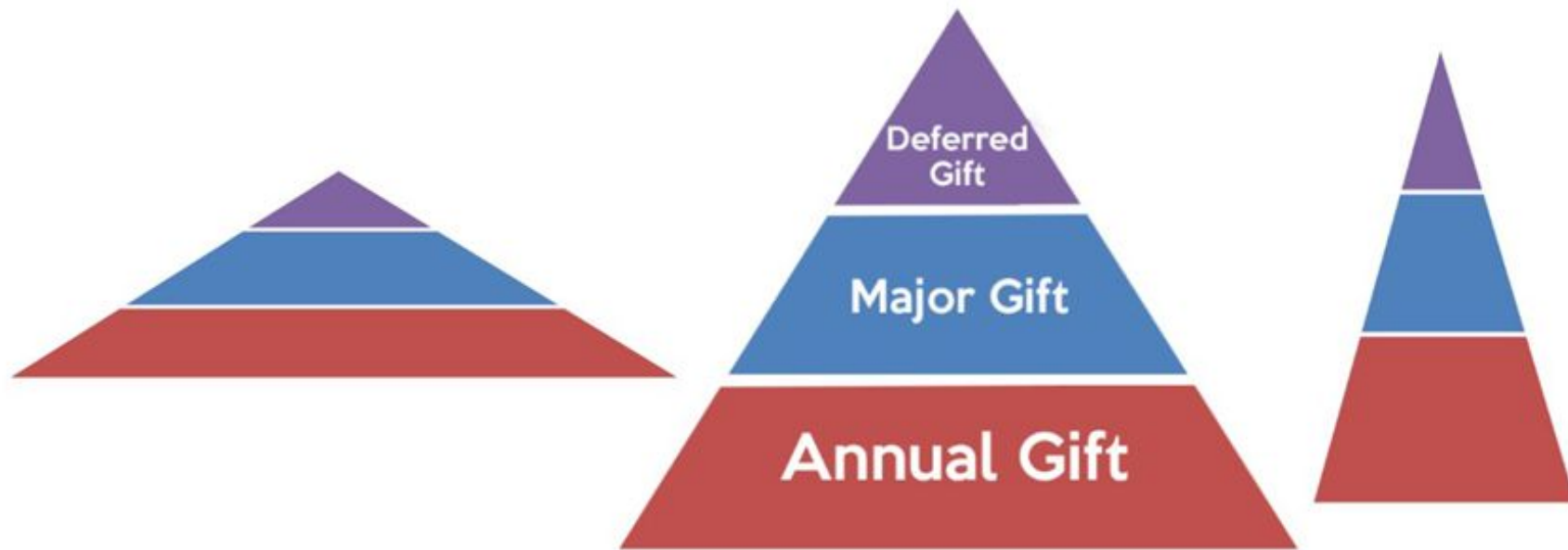


Where We Are at Risk

- With giving nationally around 2% gross domestic product, a poor economy is a risk we cannot control
- Unbalanced fundraising programs
- Funding for development
- Technology and analytics
- Competition for support
- Frontline development officers and other key positions
- Leadership and succession planning



Where We Are at Risk Unbalanced Programs



Where We Are at Risk Funding Development

- The national average for development program budget is 1.4% of an institution's Educational and General Expenditures (Eduventures)
- Only three U. T. System institutions have met or exceeded the national average



Where We Are at Risk Technology and Analytics

- High demand for analysts in all industries
 - Development requires qualified staff members who can gather and analyze relevant data to offer program strategies
- Use of predictive analytics to guide frontline officers
- Strategic use of technology to communicate with donors and engage them through multi-channel fundraising



Where We Are at Risk

Competition for Support

- More than 1.5 million nonprofit organizations are registered in the U.S. according to the National Center for Charitable Statistics (NCCS)
- Importance of telling our story clearly and in a compelling fashion to distinguish U. T. System institutions from others
- Communications and development must work together



Where We Are at Risk

Frontline Officers and Other Key Positions

- One in four principal or major gift officers at higher education institutions left their posts last year
- On average, major gift officers do not achieve their productivity potential until sometime between their two and three-year mark
- The average tenure for major gift officers hovers around the 3.5 year mark
- At any given time, about half of the major gift officers are not producing at their potential and will leave before they ever do



Where We Are at Risk

Leadership and Succession Planning

- In a national study, half of all chief development officers plan to leave their jobs in two years or less
- Development is an unknown career field for many
 - The first undergraduate degree in philanthropy was granted in 2012 at Indiana University Lilly Family School of Philanthropy
 - Most related programs are in nonprofit management and are often a certification program at a master's level
 - No U. T. System institution offers an undergraduate degree in philanthropy



Mitigating Risk

- The Office of External Relations and its Center for Enhancing Philanthropy offers customized and collaborative services based on the data and input from institutional leaders
- Customized services for institutions
 - Annual Development Reviews
 - Action Plans, when requested, to develop a 3-5 year strategic development plan
 - Strengthen institutional business plan for development and align with president's vision
 - Tailored training and support for staff, programs, deans, and others



Mitigating Risk

Customized Services - Annual Development Review

Overall Giving and Cash Received



Overall giving and cash received reached record highs in FY2014

Cash received has increased 263% since FY2005

██████ reports \$273M raised on \$200M goal

Top 12 Gifts with percentage of cash received



Largest three gifts from each of the above categories totals 83% of all cash received

Gifts from individuals are the leading source of large gifts

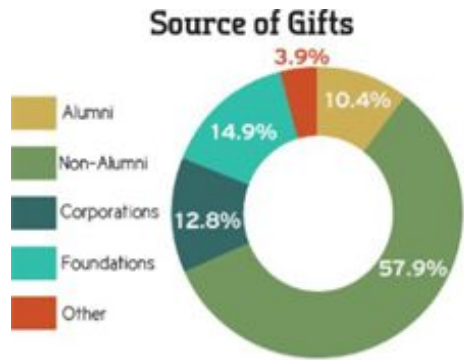
No large gifts from bequests in FY2014

██████ - Redacted



Mitigating Risk

Customized Services - Annual Development Review (cont)



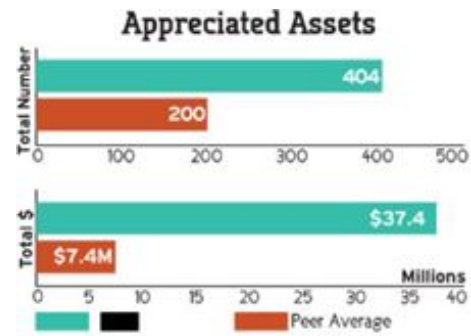
68.3% of giving from individuals in FY2014 exceeds five year average of 41%

Non-alumni donors counted for more than half of all giving



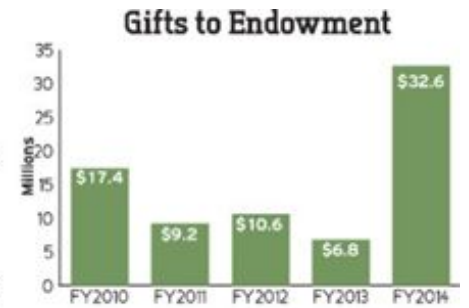
28.5% of cash received designated for current operations

More than half of the amount raised went towards endowment



outperformed peers in both number and amount of appreciated assets

was second among UT institutions in number of gifts and amount from appreciated assets



Exceptional growth in the amount given for endowments

█ - Redacted



Mitigating Risk

Customized Services - Annual Development Review (cont)

Individual Donor Count



Individual donor count continued a slight downward decline over the past two years

Alumni Data FY2014

		PEER AVERAGE
Alumni of Record	81,386	165,976
Alumni Donors	1,694	14,855
Alumni Donor Growth FY2010-FY2014	47%	-6%
Alumni Participation	2.1%	9.2%
Alumni Participation Five year average	1.13%	3.06%
Amount of Giving	\$5.8M	\$11.6M
Average Gift (Current Operations)	\$207	\$489

Alumni participation continued a downward trend for the past two years

While participation declined overall, alumni giving amount increased to its all time high of \$5.8M.



Mitigating Risk

Customized Services - Annual Development Review (cont)

Fundraising Forecast

DETERMINED BY [REDACTED] AS PART OF ANNUAL INSTITUTIONAL DEVELOPMENT REPORT

	FY2014 Projection	FY2014 Actuals	FY2015 Projection	FY2016 Projection	FY2017 Projection	FY2018 Projection
Overall Giving	\$45M	\$66.9M	\$30M	\$35M	\$40M	\$50M
Cash Pledges, New Testamentary						
Cash Received	\$17.5M	\$54.4M	\$15M	\$20M	\$25M	\$30M
Individual Donor Count	6,000	2,090	4,000	5,000	6,000	7,500
Alumni Donor #/ Participation %	4,000 5%	1,884 2.7%	2,100 3%	2,500 4%	3,300 5%	4,500 6%
Development Budget	\$4M	\$3.9M	\$4.2M			

[REDACTED] exceeded fundraising projections for FY2014 but did not meet donor count and alumni participation targets

Projections for FY2015 lower than projections for FY2014

Investment in Development & ROI

\$564M TOTAL EXPENDITURES
IN FY2014

\$3.9M FY2014 BUDGET

0.7% DEVELOPMENT BUDGET
AS % OF EXPENDITURES

9.8% CASH RECEIVED
AS % OF EXPENDITURES

\$14.08 DOLLARS RAISED PER
DOLLAR INVESTED

\$4.2M FY2015 BUDGET

[REDACTED] - Redacted



Mitigating Risk

Customized Services - Annual Development Review (cont)

National Key Performance Indicators

	INSTITUTIONS WITH A GIVING LEVEL OF \$25-49M	INSTITUTIONS WITH A GIVING LEVEL OF \$50-74M	
\$44.3M GIVING LEVEL: DETERMINED BY NEW CASH, NEW PLEDGES, AND DEFERRED GIFTS AT PRESENT VALUE.	Total Development FTE	72	54
	Frontline FTE	28	30
	Total Development Budget	\$8.1M	\$3.9M

BASED ON EDVENTURES' MANAGING RETURNING PERFORMANCE INDICATORS BENCHMARKS

Development budget at 0.7% of E&G is under the national average of 1.4% and considerably below that of institutions raising \$25-49M (\$8.1M) and \$50-74M (\$11.8M)

Average for dollars raised per dollar invested of \$14.08 is very positive and exceeds national average of \$5.74 for peer institutions

Observations & Suggestions:

- Truly an exceptional year for [REDACTED] with record-breaking results
- Large gifts from individuals were the determining factor in the banner year
- Planned Giving program just beginning to show progress
- Declining donor count indicates annual giving program and strategy should be reviewed
- High ROI may indicate not all programs are being funded adequately. Depending on the review of the annual giving and alumni programs and strategies, more resources may be warranted for those programs
- [REDACTED] would benefit from a post-campaign review to measure outcomes and performance, and to prepare for sustainable fundraising following the campaign
- Special project initiatives will guide staff and donors in ongoing philanthropic priorities for [REDACTED]

[REDACTED] - Redacted



Mitigating Risk

Collaborative Services – Advancement Academy Year One

- Nine professionally developed and facilitated workshops
- 94% of workshops rated Very Good or Excellent
- 394 total participants representing all U. T. System institutions
- \$227,000 saved in training costs by U. T. System institutions
- Workshops featuring use of technology and analytics, development communications, leadership/management, fundraising programs and skills, constituent relations



Mitigating Risk

Collaborative Services - Talent Management

- “Grow Our Own” program
 - Student internships to discover careers in philanthropy
 - Multi-day immersion program for others currently in the work force/veterans to be exposed to development careers
 - Boot Camp for new hires and newly promoted
- Succession planning opportunities
 - Identify current staff members with leadership potential and groom them for future leadership roles
 - Offer human resources and development leadership best practices/training to recruit and retain quality development professionals



Mitigating Risk

Collaborative Services - Engage Chief Financial and Human Resource Officers

- Encourage investment in development at appropriate levels for a multi-year period
- Consider ways to fund development that are unique to the U. T. System
- Share ways to positively show philanthropic impact at the institutional level
- Develop with HR officers a new career path progression for current development staff members to improve retention and help shape recruitment strategy for millennials, who will be 50% of our workforce by 2020



Desired Outcomes for U. T. System Institutions

- Increased philanthropic gifts for institutional priorities
- Balanced, data-driven and well-funded fundraising programs
- Well-trained, retained and talented frontline officers and leaders who see U. T. System institutions as career destinations
- A pipeline of new development talent through internships and academic programs in philanthropy
- Clear and compelling messages effectively delivered
- Greater institutional emphasis on a culture of philanthropy
- Donors meaningfully engaged



13. **U. T. Austin: Discussion and appropriate action regarding proposed reallocation of a portion of the Available University Fund (AUF) allocated to U. T. Austin, from use to support online and on-campus enrollment growth to use for other strategic purposes to benefit U. T. Austin**

RECOMMENDATION

With the concurrence of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Business Affairs, and President Fenves, the Chancellor recommends the U. T. System Board of Regents reallocate up to \$40 million of the \$56.4 million of Available University Funds (AUF) funding previously allocated to U. T. Austin on August 21, 2014, from use to support online and on-campus enrollment growth to use for other strategic purposes for the benefit of U. T. Austin.

BACKGROUND INFORMATION

On August 21, 2014, the Board of Regents approved a special one-time distribution from the Permanent University Fund (PUF) into the AUF for Fiscal Year 2014 in an amount equal to an increase in the distribution rate from the PUF of 1.5%. That distribution was approved by the Board in lieu of an in-state tuition increase for undergraduate students at the academic institutions, and was to be used to support online and on-campus enrollment growth at the academic institutions. The approved additional distribution resulted in an allocation of \$56.4 million of AUF funding to U. T. Austin, and an allocation of \$68.9 million for the other academic institutions.

U. T. Austin plans to use a portion of the funding to implement an Extended Campus Proposal and estimates the cost at approximately \$20.3 million. Approval to reallocate an amount not to exceed \$40 million for other permissible purposes for the benefit of U. T. Austin will allow the President additional flexibility for strategic purposes.



**TABLE OF CONTENTS
FOR
AUDIT, COMPLIANCE, AND MANAGEMENT REVIEW
COMMITTEE**

Committee Meeting: 2/10/2016

Board Meeting: 2/11/2016
Galveston, Texas

Jeffery D. Hildebrand, Chairman
Ernest Aliseda
David J. Beck
R. Steven Hicks
Brenda Pejovich

	Committee Meeting	Board Meeting	Page
A. CONVENE JOINT MEETING WITH FINANCE AND PLANNING COMMITTEE	<i>10:30 a.m.</i>		
1. U. T. System: Report on the Fiscal Year 2015 Annual Financial Report, including the report on the U. T. System Annual Financial Report Audit, and audits of U. T. M. D. Anderson Cancer Center, U. T. Southwestern Medical Center, and U. T. Medical Branch - Galveston financial statements and for funds managed by The University of Texas Investment Management Company (UTIMCO)	<i>10:30 a.m.</i> Report/Discussion <i>Mr. Wallace</i> <i>Mr. Peppers</i> <i>Mr. Robert Penschorn,</i> <i>Ms. Tracey Cooley,</i> <i>Mr. Robert Cowley,</i> <i>and Mr. Blake</i> <i>Rodgers, Deloitte & Touche</i>	Not on Agenda	82
B. ADJOURN JOINT MEETING	<i>11:00 a.m.</i>		
C. CONVENE MEETING OF THE AUDIT, COMPLIANCE, AND MANAGEMENT REVIEW COMMITTEE IN OPEN SESSION TO CONSIDER AGENDA ITEMS	<i>11:01 a.m.</i> <i>Chairman Hildebrand</i>		
2. U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, assigned for Committee consideration	<i>11:02 a.m.</i> Discussion	Action	83
3. U. T. System: Approval of non-audit services to be performed by U. T. System's external audit firm, Deloitte & Touche LLP, for a U. T. Austin comprehensive business plan project	<i>11:03 a.m.</i> Action <i>Mr. Peppers</i>	Not on Agenda	84
4. U. T. System Board of Regents: Approval to hire auditor to provide financial auditing services for Fiscal Year 2016	<i>11:07 a.m.</i> Action <i>Chairman Hildebrand</i> <i>Mr. Peppers</i>	Action <i>Chairman Hildebrand</i>	85

	Committee Meeting	Board Meeting	Page
5. U. T. System: Discussion on Systemwide audit activities, including a report on the Faculty Academic Workload Audit and the audits of travel and entertainment expenses for chief administrators and executives and an update on the status of Priority Findings and the Annual Audit Plan	11:10 a.m. Report/Discussion <i>Mr. Peppers</i>	Not on Agenda	86
6. U. T. System Board of Regents: Report on the Risk Finance and Risk Control Programs administered by the Office of Risk Management	11:20 a.m. Report/Discussion <i>Mr. Dendy</i>	Not on Agenda	90
7. U. T. System: Report on U. T. System medical billing compliance activities	11:35 a.m. Report/Discussion <i>Mr. Dieter Lehnortt,</i> <i>U. T. Southwestern</i> <i>Medical Center</i>	Not on Agenda	111
D. ADJOURN	11:45 a.m.		

1. **U. T. System: Report on the Fiscal Year 2015 Annual Financial Report, including the report on the U. T. System Annual Financial Report Audit, and audits of U. T. M. D. Anderson Cancer Center, U. T. Southwestern Medical Center, and U. T. Medical Branch - Galveston financial statements and for funds managed by The University of Texas Investment Management Company (UTIMCO)**

REPORT

See Item 9 beginning on [Page 241](#) of the Finance and Planning Committee.

2. **U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, assigned for Committee consideration**

RECOMMENDATION

No Consent Agenda items are assigned for review by this Committee. The Consent Agenda begins on [Page 426](#).

3. **U. T. System: Approval of non-audit services to be performed by U. T. System's external audit firm, Deloitte & Touche LLP, for a U. T. Austin comprehensive business plan project**

RECOMMENDATION

It is recommended that approval be given by the Audit, Compliance, and Management Review Committee (ACMRC) for U. T. System's external audit firm, Deloitte & Touche LLP, to perform non-audit services for U. T. Austin as part of a comprehensive business plan project related to the transformation of health care delivery. Non-appropriated funds will be used for this contract. Additional information on this project was provided to the members of the Board prior to the meeting.

BACKGROUND INFORMATION

Regents' Rule 20402, Section 2.1 states, "The U. T. System and the institutions may not engage the external audit firm to perform non-audit services unless the proposed engagement is reviewed and approved by the ACMRC." Section 2.2 states that the ACMRC Chairman may delegate authority to grant the approval to any ACMRC member, after which the decision made shall be presented to the full ACMRC at the next Committee meeting. Vice Chairman Hildebrand, as ACMRC Chairman, provided delegated approval for this project prior to the meeting.

The current external audit firm engaged by the U. T. System Board of Regents to provide audit services is Deloitte & Touche LLP. Audit services are those provided for the purpose of expressing an opinion on the financial statements of U. T. System or any of the institutions.

4. **U. T. System Board of Regents: Approval to hire auditor to provide financial auditing services for Fiscal Year 2016**

RECOMMENDATION

Chairman Hildebrand recommends to the Audit, Compliance, and Management Review Committee (ACMRC) that he, as Chairman of the ACMRC and working with the Chancellor and appropriate U. T. System staff and pursuant to the request for qualifications (RFQ), be authorized to select an external firm to provide independent auditing services for the U. T. System based on input from the selection committee and appropriate U. T. System staff.

It is further recommended that the Chancellor be authorized to approve the allocation of funding in a reasonable amount, as he determines necessary, and negotiate and enter into an auditing services contract with the selected firm.

BACKGROUND INFORMATION

On August 12, 2010, the Board of Regents authorized U. T. System staff to negotiate and enter into an auditing services contract with Deloitte & Touche LLP to perform Fiscal Year 2011 financial statement audits for U. T. System. The original one-year contract was renewed for an additional four years and expires on February 28, 2016.

As requested by the ACMRC, U. T. System plans to issue a Request for Qualifications (RFQ) for independent auditing services in late January 2016.

5. **U. T. System: Discussion on Systemwide audit activities, including a report on the Faculty Academic Workload Audit and the audits of travel and entertainment expenses for chief administrators and executives and an update on the status of Priority Findings and the Annual Audit Plan**

REPORT

Chief Audit Executive Peppers will present the results of the Faculty Academic Workload Audit and the audits of the travel and entertainment expenses for chief administrators and executives. Details on the results of these engagements were provided to the members of the Board prior to the meeting.

Mr. Peppers will also report on the status of Systemwide Priority Findings, using a PowerPoint presentation set forth on the following pages. The FY 2016 Systemwide annual audit plan status as of November 30, 2015, was also provided to the members of the Board prior to the meeting.

BACKGROUND INFORMATION

A Priority Finding is defined as “an issue identified by an audit that, if not addressed timely, could directly impact achievement of a strategic or important operational objective of a U. T. System institution or the U. T. System as a whole.” A Priority Findings Matrix is used by the chief audit executives to aid in the determination of a Priority Finding. The matrix provides three categories of standard factors to consider, each alone with the potential to result in a Priority Finding. They are: Qualitative Risk Factors (evaluates the probability and consequences across seven high risks), Operational Control Risk Factors (evaluates operational vulnerability to risks by considering the existence of management oversight and effective alignment of operations), and Quantitative Risk Factors (evaluates the level of financial exposure or lost revenue).

U. T. Systemwide Priority Findings

Mr. J. Michael Peppers, U. T. System Chief Audit Executive

U. T. System Board of Regents' Meeting
Audit, Compliance, and Management Review Committee
February 2016



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Priority Findings Status as of December 31, 2015

INSTITUTION	General			Academic	TOTAL		Risk Factors						
	FINANCE	INFORMATION TECHNOLOGY	RESEARCH	ACADEMIC SUPPORT	PAST DUE	REPUTATION	INFORMATION SECURITY	COMPLIANCE	ACCOMPLISHMENT OF OBJECTIVES	LIFE SAFETY	OPERATIONAL OVERSIGHT	MANAGEMENT OVERSIGHT	
U. T. Arlington	1	2	0	0	3	0	X	X	X	X			X
U. T. Austin	2	4	1	0	7	0	X	X	X		X		
U. T. Dallas	0	1	0	0	1	0		X					
U. T. El Paso	0	1	1	0	2	0		X	X				
U. T. Permian Basin	0	0	0	0	0	0							
U. T. Rio Grande Valley	0	0	0	0	0	0							
U. T. San Antonio	0	0	0	0	0	0							
U. T. Tyler	0	0	0	0	0	0							
U. T. Southwestern Medical Center	0	0	0	0	0	0							
U. T. Medical Branch - Galveston	0	0	0	0	0	0							
U. T. Health Science Center - Houston	0	0	0	0	0	0							
U. T. Health Science Center - San Antonio	0	0	0	0	0	0							
U. T. M. D. Anderson Cancer Center	0	6	1	0	7	0		X	X				
U. T. Health Science Center - Tyler	0	0	0	0	0	0							
U. T. System Administration	0	0	0	1	1	0	X		X	X		X	
TOTALS	3	14	3	1	21	0							



Changes Since Last Report

	<u>Reported Nov 2015</u>	<u>Implemented</u>	<u>New</u>	<u>Reported Feb 2016</u>
IT related Priority Findings	15	(1)		14
Non-IT related Priority Findings	<u>6</u>	<u>(1)</u>	<u>2</u>	<u>7</u>
Total Priority Findings	21	(2)	2*	21
Past due Priority Findings	0	(0)		0

*New Priority Findings – One Research related finding (risk factors – compliance and life safety) at U. T. Austin and one Academic Support related finding (risk factors – reputation, compliance, accomplishment of management’s objectives, and operational oversight/alignment) at U. T. System Administration.



6. U. T. System Board of Regents: Report on the Risk Finance and Risk Control Programs administered by the Office of Risk Management

REPORT

Executive Director Dendy will report on the property and casualty Risk Finance and Risk Control Programs administered or coordinated by the Office of Risk Management, including property conservation, environmental health and safety, and emergency management.

A PowerPoint presentation is set forth on the following pages.

BACKGROUND INFORMATION

The mission of the Office of Risk Management (ORM) is to provide high quality risk management services, resources, and leadership that create value and support U. T. System's mission of excellence in education, research, healthcare, and public service.

The framework of the U. T. System risk management program consists of assessment, control, finance, communication, and monitoring. The program is governed by executive leadership and direction from the Risk Management Executive Committee.

This report will provide a summary of the self-insured and commercial insurance programs, including the Comprehensive Property Protection Plan, Rolling Owner Controlled Insurance Program, Cyber Liability Plan, Directors and Officers Liability Plan, Workers' Compensation Insurance, Unemployment Compensation Insurance, and International Risk Management Programs. The report will also provide an overview of the Risk Control Programs, including Environmental Health and Safety, Emergency Management, and Property Conservation.

Office of Risk Management Risk Finance and Risk Control Programs

Mr. Phillip Dendy, Executive Director, Risk Management and
Systemwide Compliance Officer *ad interim*

U. T. System Board of Regents' Meeting
Audit, Compliance, and Management Review Committee
February 2016



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Mission

It is the mission of the Office of Risk Management (ORM) to provide high quality risk management services, resources, and leadership that create value and support The University of Texas System's mission of excellence in education, research, healthcare, and public service.



Operational Exposures (FY 2015)

- Employee headcount - 114,605
- Student Enrollment - 217,112
- Total Insured Values (TIV) - \$32 billion
- Gross square feet - 99 million
- Construction values in progress - \$2.8 billion
- Faculty/staff/student international trips - 17,000



Governance

- Risk Management Executive Committee (RMEC)
- Risk Management Advisory Committee (RMAC)
- Environmental Health and Safety Advisory Committee (EHSAC)
- Emergency Management Committee (EMC)



Risk Finance Programs

- Administration of Risk Finance Programs
 - Automobile, Property, and Liability (APL)
 - Comprehensive Property Protection Plan (CPPP)
 - Rolling Owner Controlled Insurance Program (ROCIP)
 - Cyber Liability Program (CLP)
 - Unemployment Compensation Insurance (UCI)
 - Workers' Compensation Insurance (WCI)
- International Risk Management Programs



Risk Control Programs

- Environmental Health and Safety
- Emergency Management
- Property Conservation
- Claims Coordination



Additional Risk Management Services

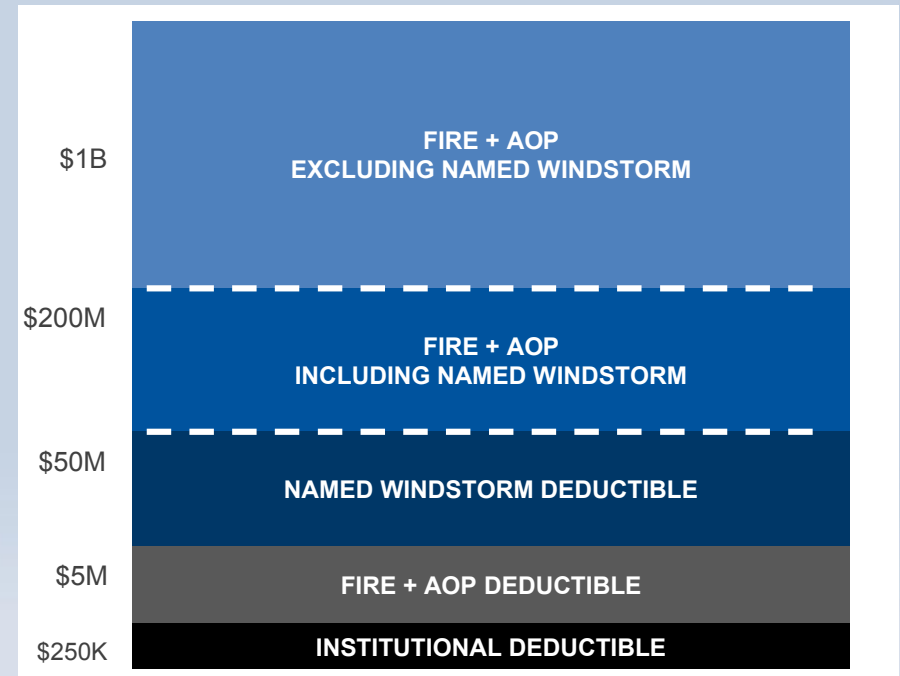
- Exposure assessments
- Traditional insurance procurements
- Contract review
- Accounting and self-insurance fund administration
- Risk Management Information System



Comprehensive Property Protection Plan

- Fire and All Other Perils (AOP)
 - \$1 billion limit
 - \$5 million deductible
- Named Windstorm
 - \$495 million total limits, including Texas Windstorm Insurance Association (TWIA) and National Flood Insurance Program (NFIP)
 - \$50 million or 5% deductible
 - TWIA and NFIP losses erode CPPP deductible

2015 – 2016 CPPP Master Program



Rolling Owner Controlled Insurance Program

ROCIP provides workers' compensation, general liability, and excess liability insurance coverage for designated U. T. System construction projects.

- Lower costs due to bulk purchasing and favorable claims experience
- Consistency of insurance provided on each project and for all contractors and subs
- Enhanced safety and loss control
- Over \$9 billion in total construction values enrolled since inception (1998)
- Over \$50 million estimated savings since inception (all phases)



Cyber Liability Program

In collaboration with the RMEC, RMAC, Chief Information Security Council and the Chief Information Officers, the CLP was incepted on September 15, 2015.

The CLP provides \$50 million aggregate coverage for:

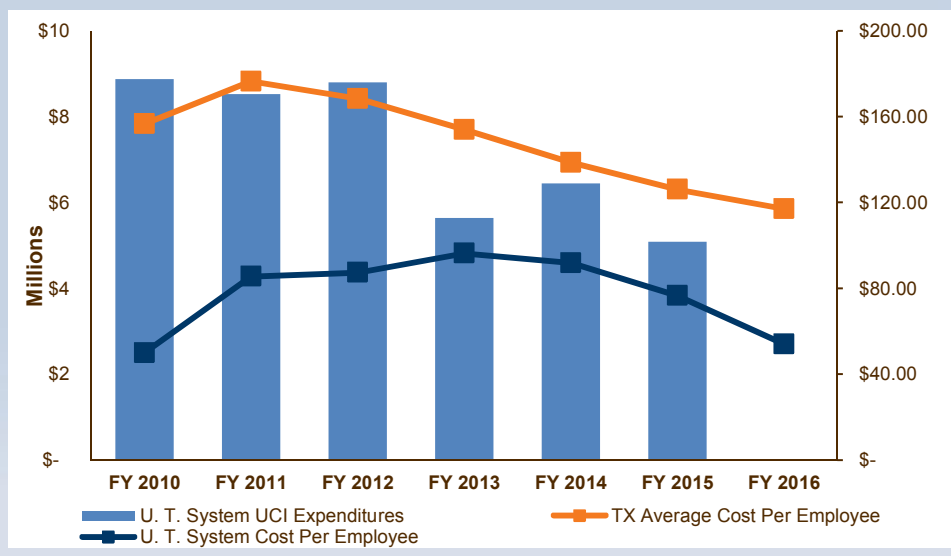
- Network security and privacy liability
- Regulatory liability
- Breach response costs
- Cyber extortion
- Other coverages



Unemployment Compensation Insurance

UCI is a self-insurance plan that assists workers who become unemployed through no fault of their own.

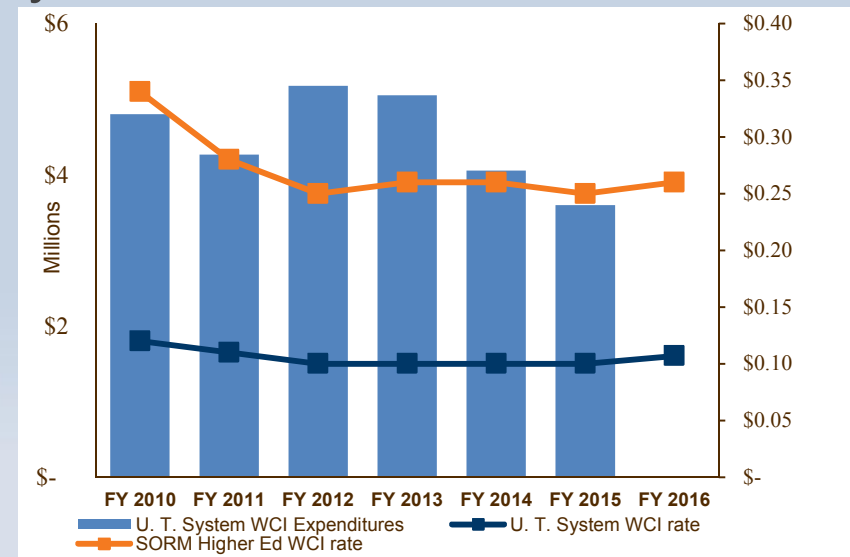
- Lowest fiscal year expenditures since FY 2008
- 11% decrease in claims from FY 2014
- Average U. T. System cost per employee in FY 2016 is \$54 compared to experience rated Texas employers, \$117 per employee



Workers' Compensation Insurance

WCI is a self-insurance plan that provides medical coverage and income benefits to U. T. System employees who are injured in the course and scope of their employment.

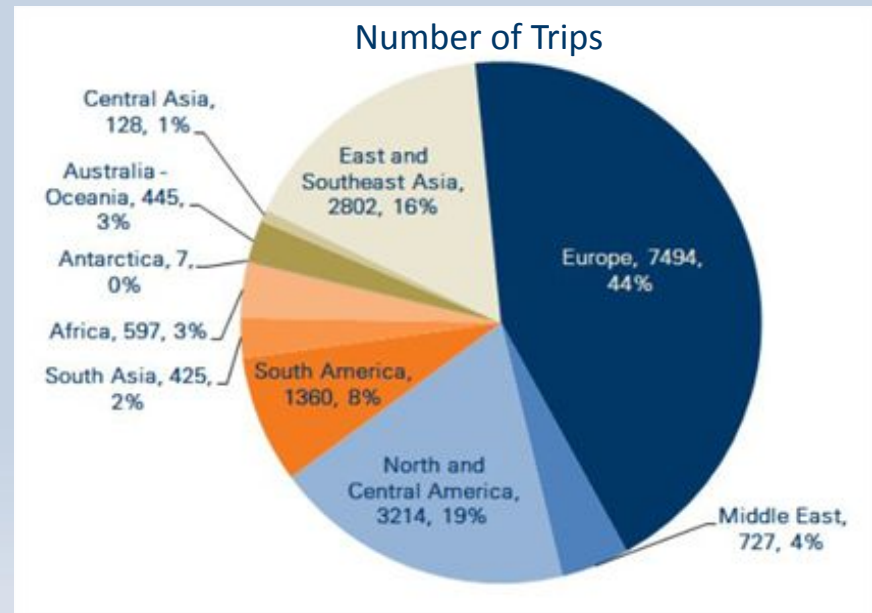
- Lowest fiscal year expenditure in over 20 years, \$3.6 million
- Claims managed by third party administrator
- Certified WCI Health Care Network to control medical costs
- Collaboration with loss control
- Return to Work programs
- Favorable rate comparison to peers



International Risk Management Programs

- International Travel (FY 2014)
 - 11,118 employee trips
 - 6,081 student trips
 - 151 countries visited
- International Oversight Committee Activity
 - 1,456 requests reviewed for travel to restricted regions

FY 2014 INTERNATIONAL TRAVEL TRIPS BY REGION



International Risk Management Programs (cont.)

- International medical and security emergency assistance
 - Global 24 hour assistance
 - Online/automated travel advisors
 - Travel tracker
- Blanket Student Accident and Sickness Policy
- Foreign Package Insurance Policy
 - Foreign workers' compensation
 - Foreign general liability
 - Foreign auto liability
- Defense Base Act



Emergency Management

- Assist institutions with requirements of UTS172 – Emergency Management and *Texas Education Code Section 52.217*
- Interface with Texas Division of Emergency Management and the Department of Public Safety
- Administer Systemwide contracts for disaster recovery
- Conducted safety and security audits at eight institutions in FY 2015



Property Conservation

- Coordinate carrier and property engineer visits and surveys
- In 2015, surveyed 108 buildings with combined TIV over \$6.1 billion
- 877 recommendations made since 2003
- 522 recommendations closed with a projected loss avoidance of \$6.2 billion
- Focused flood exposure analysis to determine need for new NFIP coverage



Systemwide Environmental Contracts

- Leverage purchasing power and provide enhanced services

Includes

- Hazardous waste
- Low-level radioactive waste
- Emergency spill response
- Medical/biological waste
- Environmental services



Claims Coordination

- Oversee and coordinate claims process
- Works with General Counsel and Attorney General on claim litigation
- Administers contracts for:
 - Disaster response (flood and water intrusion, fire/smoke, Federal Emergency Management Agency assistance, salvage)



Resource Allocation Program (RAP)

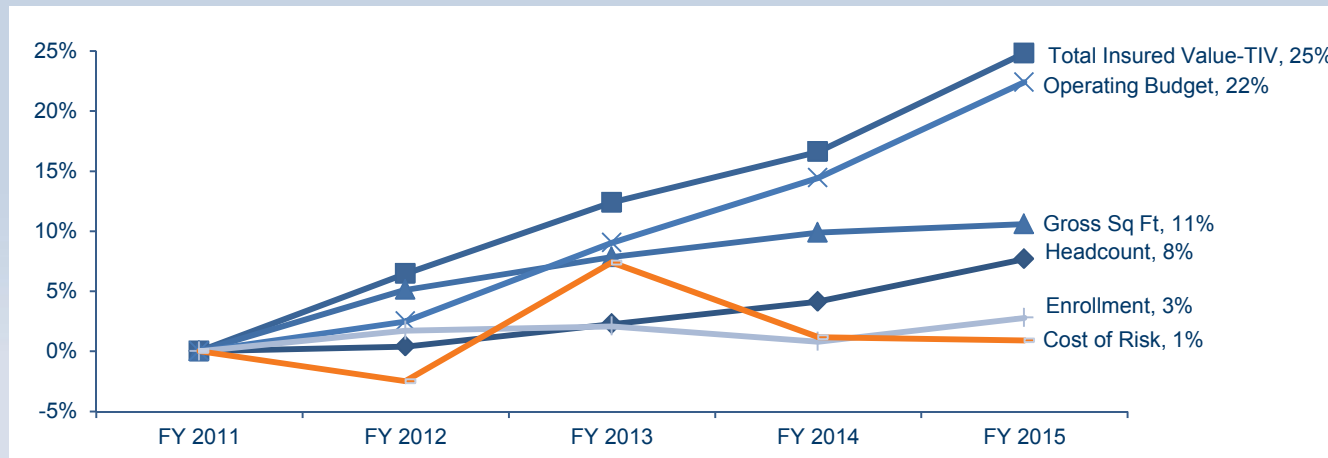
- \$51 million has been distributed through RAP
- Funds used for risk management and safety initiatives that are outside current budgets
 - Occupational safety programs
 - Strain and sprain prevention
 - Laboratory safety initiatives
- Systemwide initiatives
 - Systemwide training
 - National Fire Protection Association
 - Risk Management Conference



Cost of Risk

Cost of risk is a method of representing the financial performance of risk management programs.

- Includes fixed costs such as commercial and self-insurance premiums
- The cost of risk in FY 2015 was approximately \$35 million (increase of only 1% since 2011)



7. U. T. System: Report on U. T. System medical billing compliance activities

REPORT

Mr. Dieter A. Lehnortt, Director of Billing Compliance at U. T. Southwestern Medical Center and current Chair of the U. T. System Medical Billing Compliance Advisory Committee (MBCAC), will provide an update on the current activities, emerging issues, and work plan of the MBCAC. A PowerPoint presentation is set forth on the following pages.

BACKGROUND INFORMATION

Medical billing is an area of significant risk to any entity involved in billing for medical services. Considerable monetary penalties, program exclusion, and strict regulatory corporate integrity agreements are examples of actions that can result from non-compliance with medical billing rules. U. T. System seeks to more proactively standardize its billing practices, ensure an effective system of compliance, and exhibit national leadership in this area.

The U. T. Systemwide Executive Compliance Committee has charged the MBCAC with studying and making recommendations with regard to best practices in the area of medical billing compliance for the U. T. System institutions.

U. T. System Medical Billing Compliance Advisory Committee Report

Mr. Dieter A. Lehnortt, Director, Billing Compliance,
U. T. Southwestern Medical Center

U. T. System Board of Regents' Meeting
Audit, Compliance, and Management Review Committee
February 2016



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U. T. System Health Institution Facts

- Four medical schools, two dental schools, three nursing schools, four biomedical science graduate schools, four schools of health professions, plus schools of biomedical informatics and a school of public health
- More than 6.78 million outpatients visits (physician) annually
- More than 1.38 million patient days (hospital) annually
- FY 2016 budget - \$6.8 billion (estimated) in insurance and patient payments



Purpose and Background

- Medical billing is an area of significant risk to any entity involved in providing medical services to patients
- Significant penalties can result when there is noncompliance with medical billing rules
- The U. T. Systemwide Executive Compliance Committee in 2009 charged the Medical Billing Compliance Advisory Committee (MBCAC) with studying and making recommendations with regard to best practices in billing compliance



MBCAC Membership

- The Chief Compliance Officer or his/her designee from each of the six U. T. System health institutions
- Members have functional expertise in medical billing compliance and are accountable for the effectiveness of their respective billing compliance programs
- At least one member from the U. T. Systemwide Compliance Office
- Representative from the U. T. System Office of Health Affairs



MBCAC Responsibilities

- Develop an annual work plan to address key billing compliance issues/risks
- Convene quarterly in-person or telephonic meetings
- Identify opportunities to leverage available billing compliance audit software systems to effectively monitor billing compliance risks



FY 2015 Accomplishments

- Developed a model policy addressing cloned documentation
- Conference calls with Texas Medicare contractor (Novitas) leadership to discuss documentation cloning concerns
- Developed institutional monitoring plans to address clinical trial billing compliance risks
- Identified opportunities for enhancing inter-institution communications on clinical trial billing compliance activities



FY 2015 Accomplishments (cont.)

- Revised the audit approach and timeframe for conducting professional services audits
- Developed and implemented a quality assurance process to ensure the accuracy of audit work performed
- Worked to ensure operational readiness for conversion to a new diagnosis coding system (ICD-10)



FY 2016 Priorities

- Assist in the development of a competitive solicitation to procure needed billing compliance audit software systems
- Successfully implement new billing compliance audit software systems by fiscal year end
- Ensure an effective policy addressing cloned documentation is created and implemented at each health institution
- Develop best practices for monitoring both clinical trial billing and ICD-10 coding compliance



FY 2016 Priorities (cont.)

- Review and make recommendations for needed updates/enhancements to U. T. System Guiding Principle documents
- Develop recommendations for reporting meaningful billing compliance audit result metrics to U. T. System
- Collect and share information about the organizational structure, staffing, and audit priorities for the billing compliance group at each health institution





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FOR
FINANCE AND PLANNING COMMITTEE**

Committee Meeting: 2/10/2016

Board Meeting: 2/11/2016
Galveston, Texas

R. Steven Hicks, Chairman
David J. Beck
Wallace L. Hall, Jr.
Jeffery D. Hildebrand
Sara Martinez Tucker

	Committee Meeting	Board Meeting	Page
A. CONVENE	<i>9:30 a.m.</i> <i>Chairman Hicks</i>		
1. U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, assigned for Committee consideration	<i>9:30 a.m.</i> Discussion	Action	123
2. U. T. System: Key Financial Indicators Report and Monthly Financial Report	<i>9:35 a.m.</i> Report/Discussion <i>Dr. Kelley</i>	Not on Agenda	124
3. U. T. System: Report on the Analysis of Financial Condition for Fiscal Year 2015	<i>9:45 a.m.</i> Report/Discussion <i>Mr. Wallace</i>	Not on Agenda	158
4. U. T. System: Approval of amendment to Budget Rules and Procedures including raising the threshold for budget amendments requiring Board or U. T. System Administration approval and changing the requirements for Board or U. T. System Administration approval for budget actions involving certain personnel	<i>9:50 a.m.</i> Action <i>Mr. Wallace</i>	Action	218
5. U. T. System: Approval of the Fiscal Year 2017 Budget Preparation Policies and Calendar for budget operations	<i>9:55 a.m.</i> Action <i>Mr. Wallace</i>	Action	225
6. U. T. System Board of Regents: Report on activities of the University Lands Advisory Board	<i>10:00 a.m.</i> Report/Discussion <i>Regent Cranberg</i>	Not on Agenda	229

	Committee Meeting	Board Meeting	Page
7. U. T. System Board of Regents: The University of Texas Investment Management Company (UTIMCO) Performance Summary Report and Investment Reports for the quarter ended November 30, 2015	10:05 a.m. Report/Discussion <i>Mr. Zimmerman</i>	Report	230
8. U. T. System Board of Regents: Approval of an Accreditation Program for Texas State Agencies and Group Purchasing Organizations (GPO Accreditation Program)	10:20 a.m. Action <i>Dr. Kelley</i>	Action	236
B. CONVENE JOINT MEETING WITH AUDIT, COMPLIANCE, AND MANAGEMENT REVIEW COMMITTEE	10:30 a.m.		
9. U. T. System: Report on the Fiscal Year 2015 Annual Financial Report, including the report on the U. T. System Annual Financial Report Audit, and audits of U. T. M. D. Anderson Cancer Center, U. T. Southwestern Medical Center, and U. T. Medical Branch - Galveston financial statements and for funds managed by The University of Texas Investment Management Company (UTIMCO)	10:30 a.m. Report/Discussion <i>Mr. Wallace</i> <i>Mr. Peppers</i> <i>Mr. Robert Peshorn,</i> <i>Ms. Tracey Cooley,</i> <i>Mr. Robert Cowley,</i> <i>and Mr. Blake</i> <i>Rodgers, Deloitte &</i> <i>Touche</i>	Not on Agenda	241
C. ADJOURN	11:00 a.m.		

1. **U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, assigned for Committee consideration**

RECOMMENDATION

The proposed Consent Agenda is located at the back of the book. Consent Agenda items assigned to this Committee are on [Pages 436 - 442](#).

2. U. T. System: Key Financial Indicators Report and Monthly Financial Report

REPORT

Dr. Scott C. Kelley, Executive Vice Chancellor for Business Affairs, will discuss the Key Financial Indicators Report, as set forth on [Pages 125 - 132](#) and the December Monthly Financial Report on [Pages 133 - 157](#). The reports represent the consolidated and individual operating detail of the U. T. System institutions.

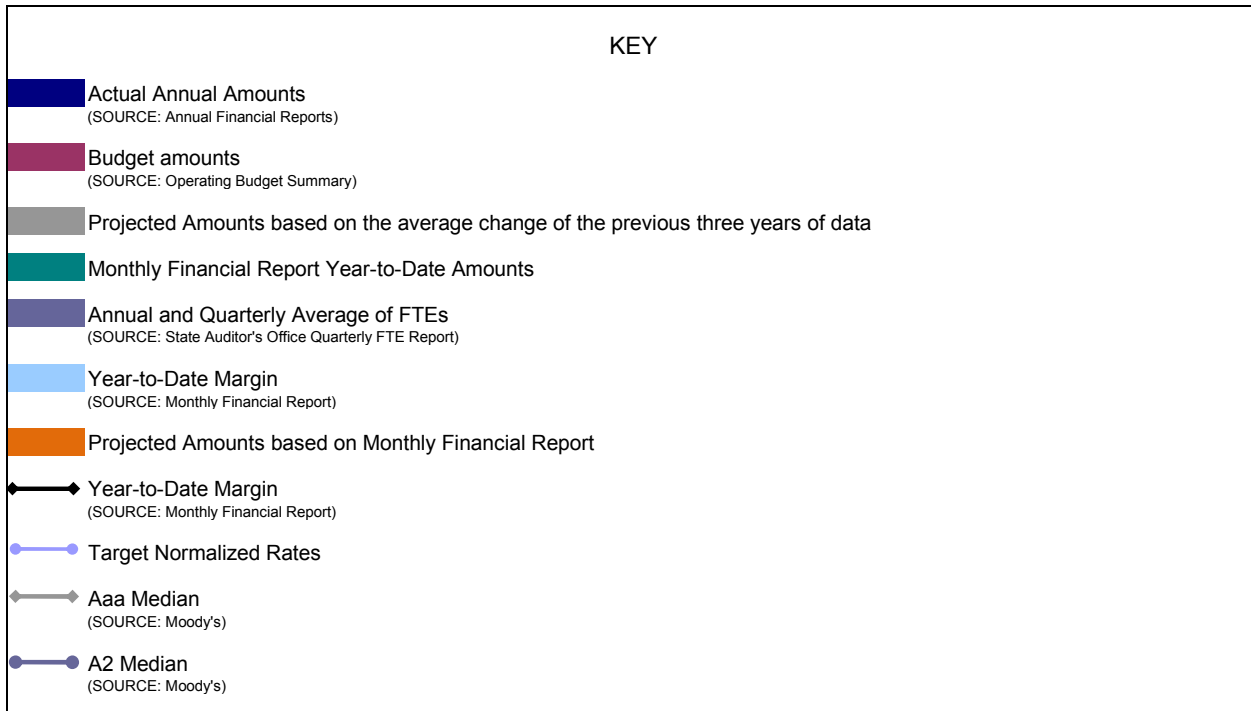
The Key Financial Indicators Report compares the Systemwide quarterly results of operations, key revenues and expenses, reserves, and key financial ratios in a graphical presentation from Fiscal Year 2012 through November 2016. Ratios requiring balance sheet data are provided for Fiscal Year 2011 through Fiscal Year 2015.

THE UNIVERSITY OF TEXAS SYSTEM

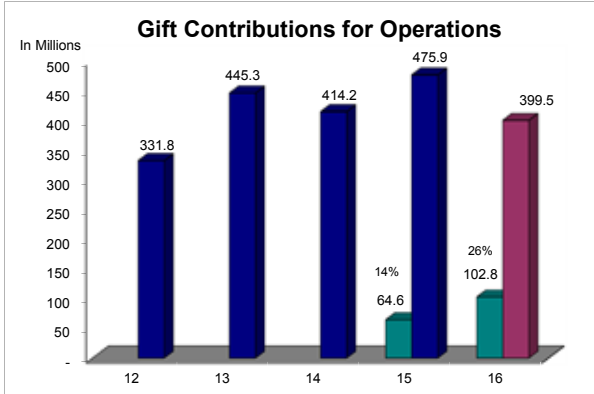
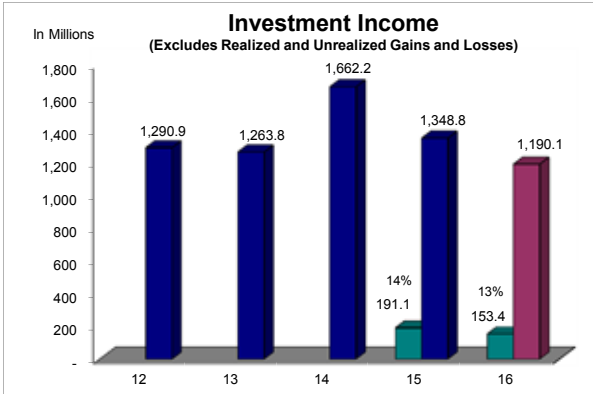
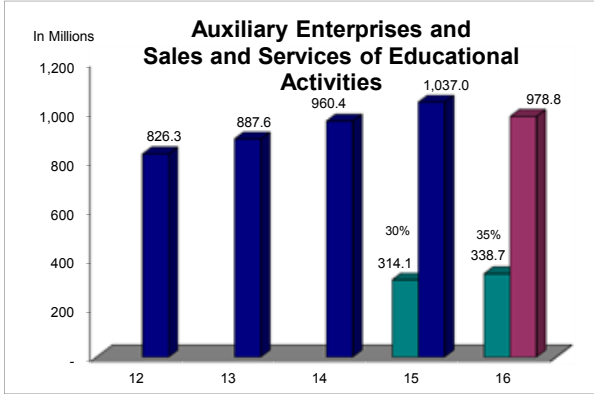
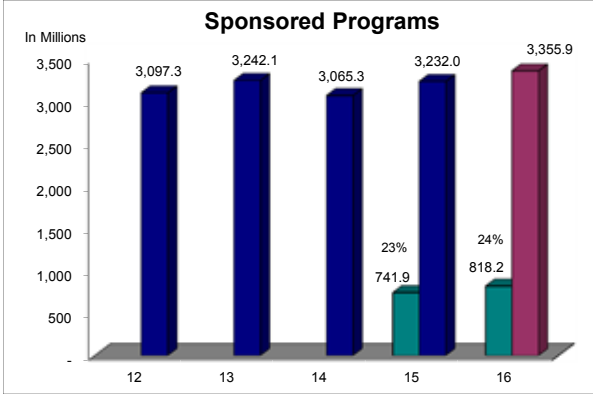
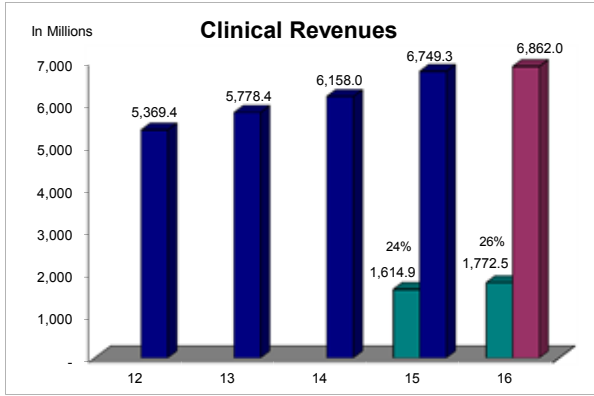
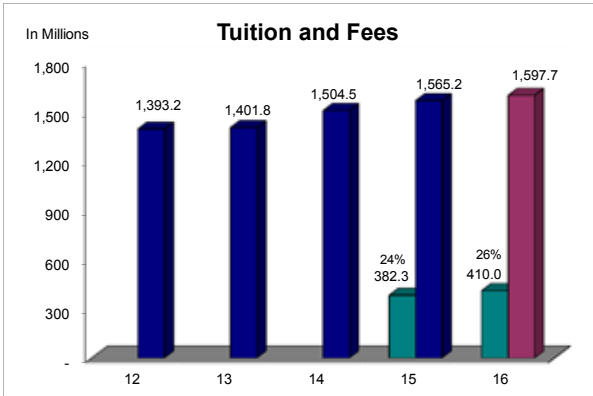
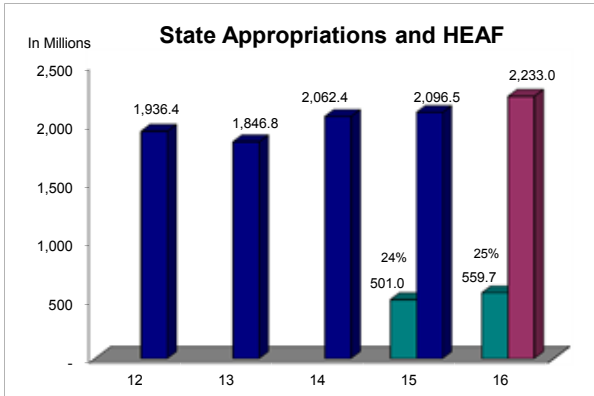
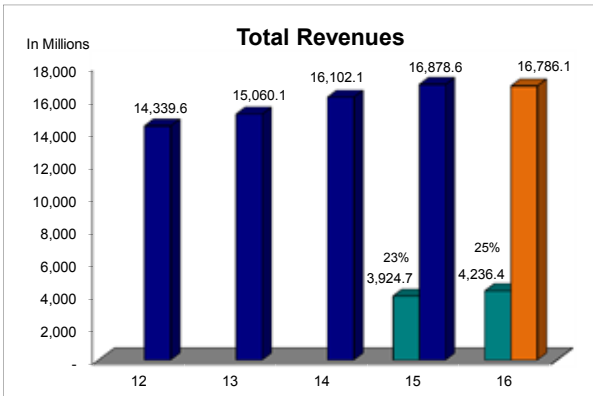


KEY FINANCIAL INDICATORS REPORT

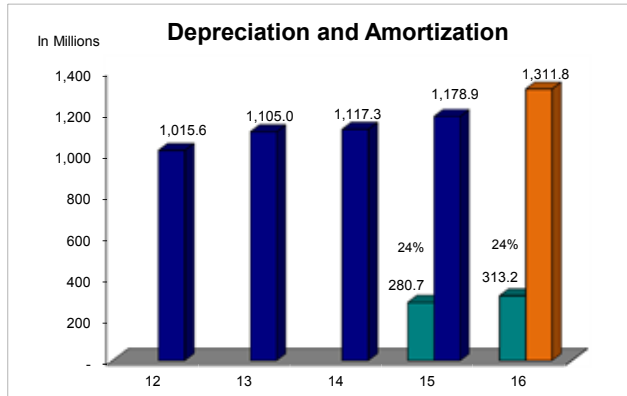
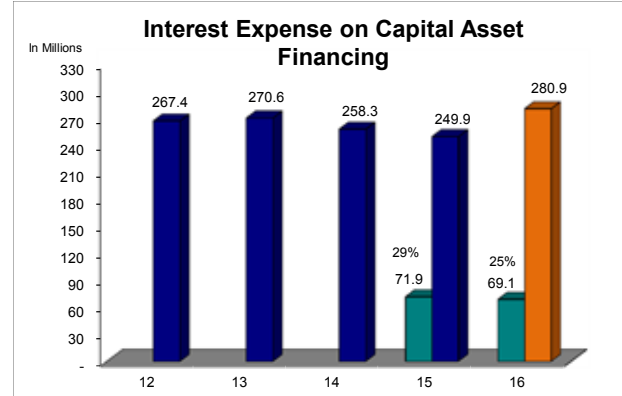
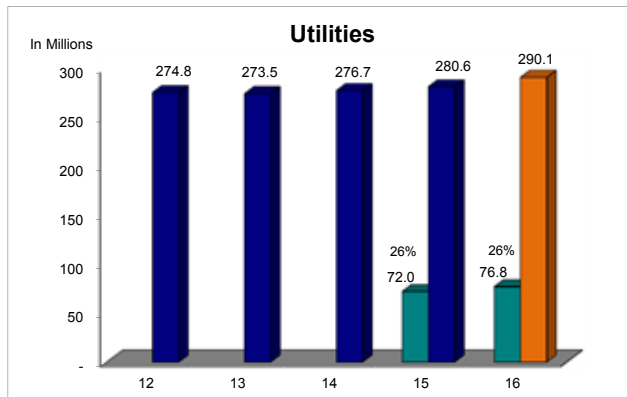
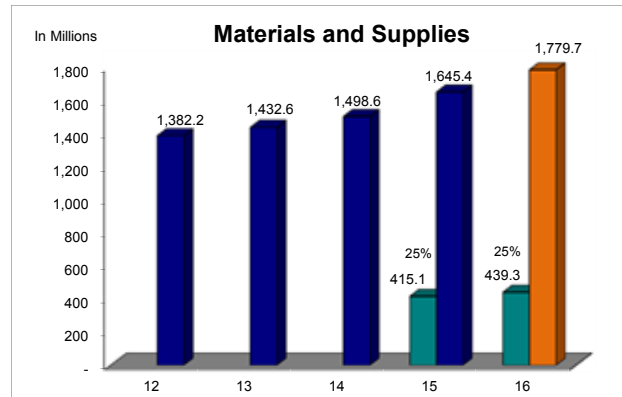
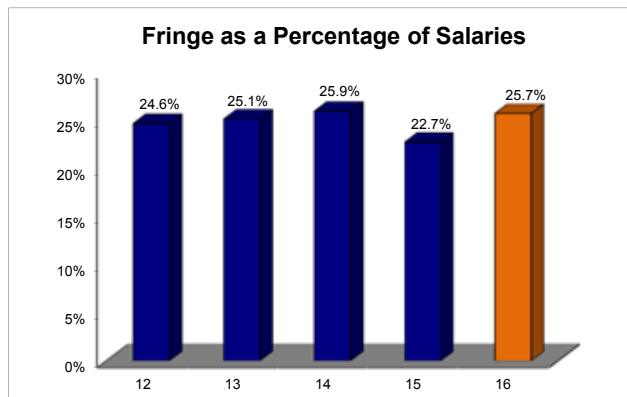
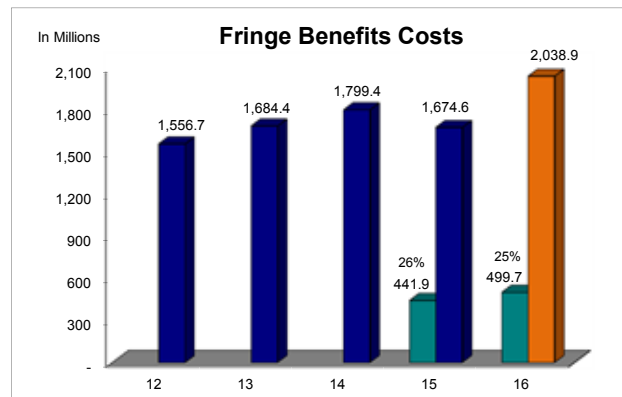
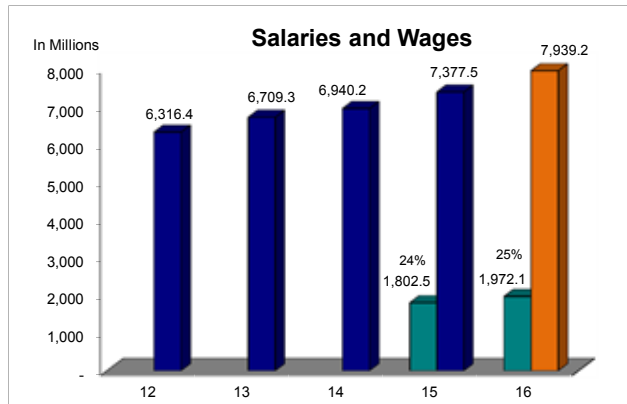
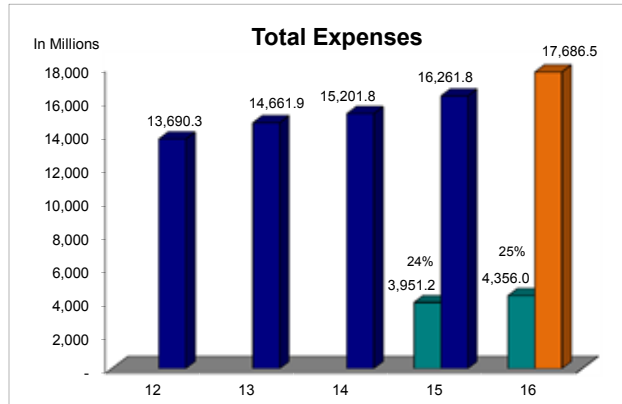
NOVEMBER 2015



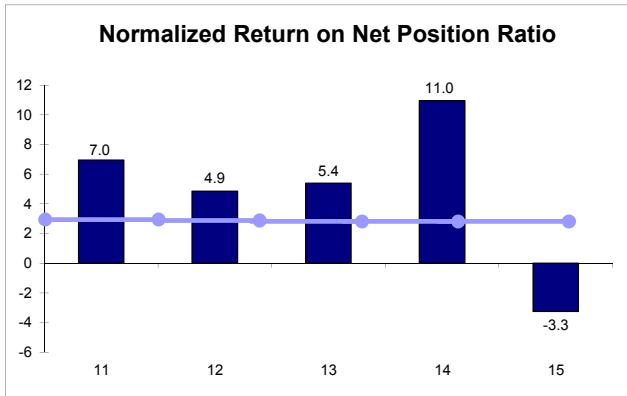
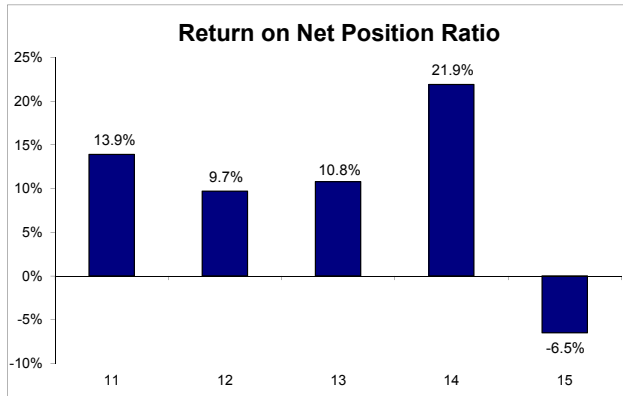
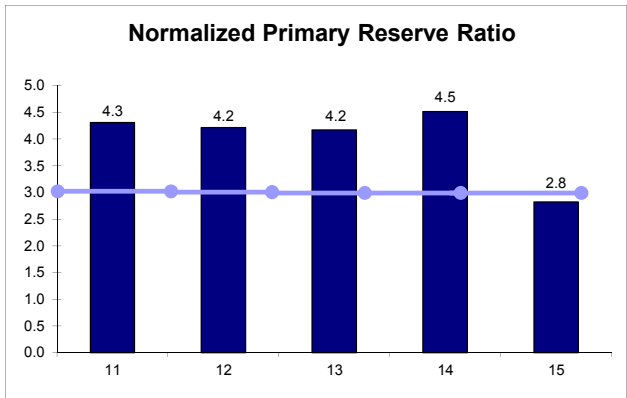
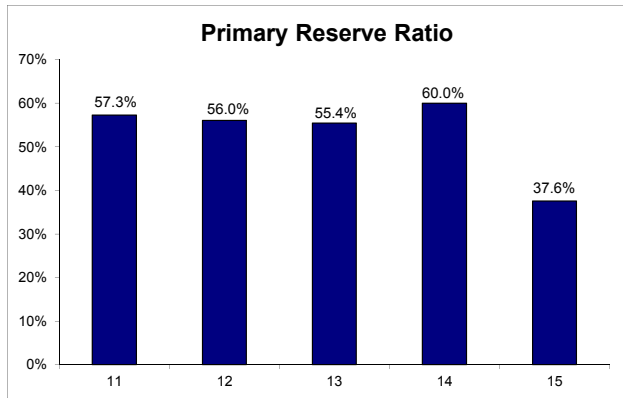
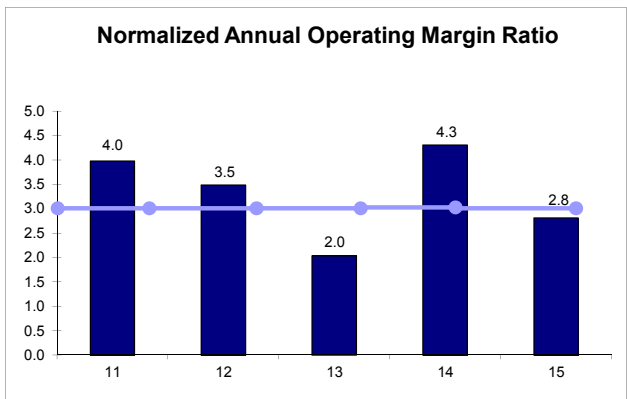
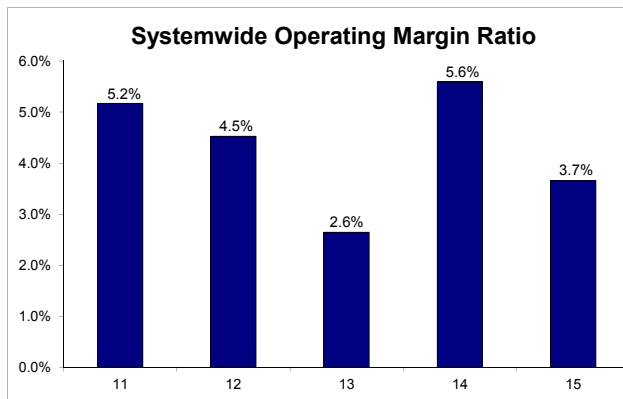
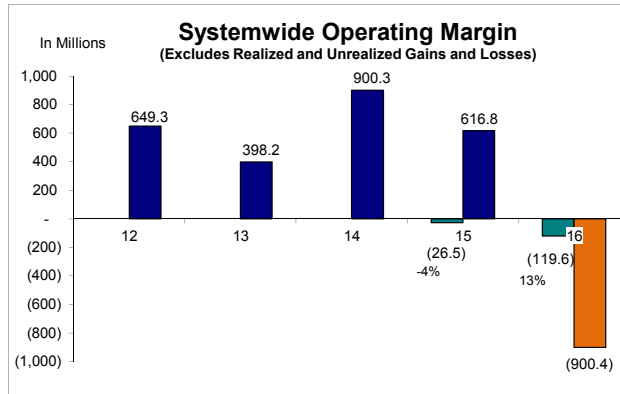
KEY INDICATORS OF REVENUES
ACTUAL 2012 THROUGH 2015
PROJECTED 2016
YEAR-TO-DATE 2015 AND 2016 FROM NOVEMBER MONTHLY FINANCIAL REPORT



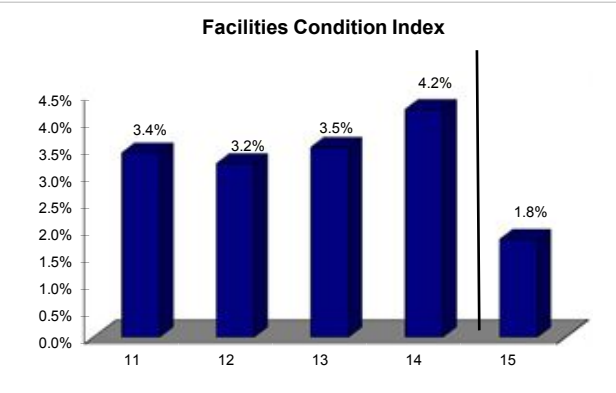
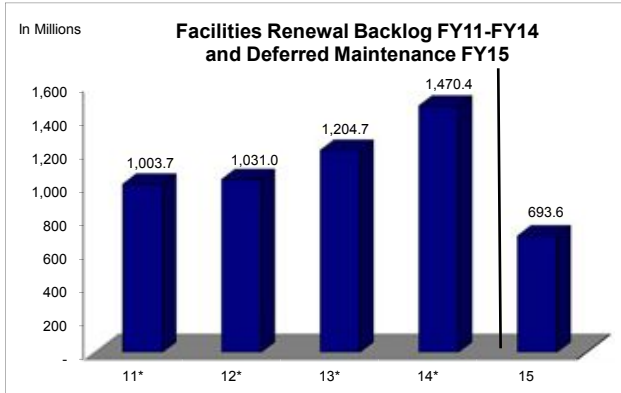
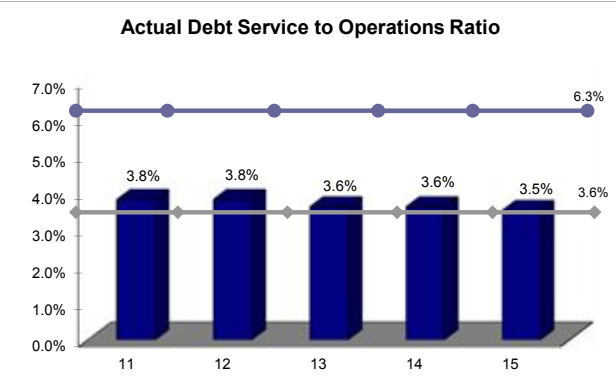
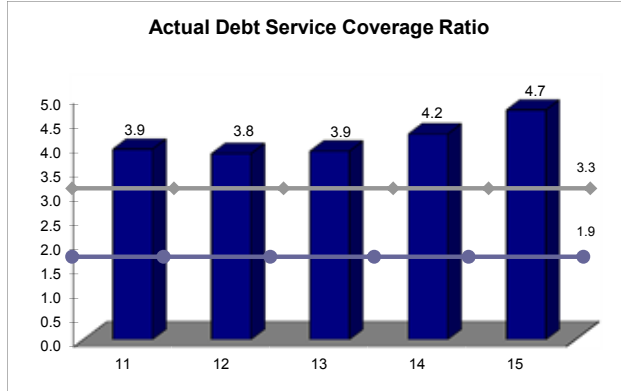
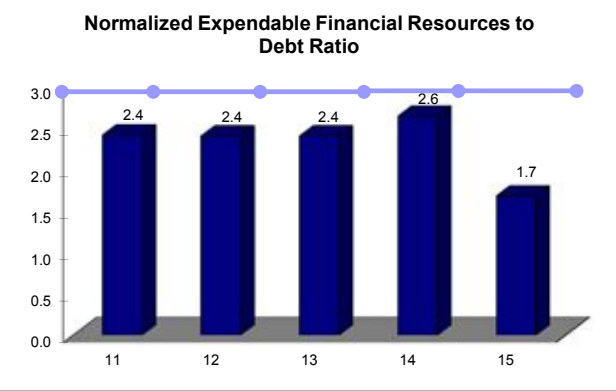
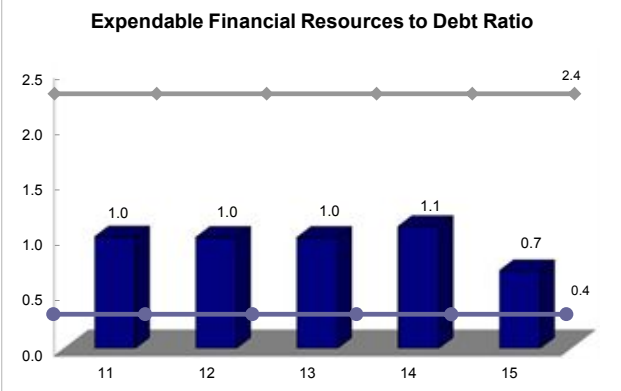
KEY INDICATORS OF EXPENSES
ACTUAL 2012 THROUGH 2015
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**KEY INDICATORS OF RESERVES
ACTUAL 2011 THROUGH 2015
PROJECTED 2016
YEAR-TO-DATE 2015 AND 2016 FROM NOVEMBER MONTHLY FINANCIAL REPORT**



**KEY INDICATORS OF CAPITAL NEEDS AND CAPACITY
2011 THROUGH 2015**

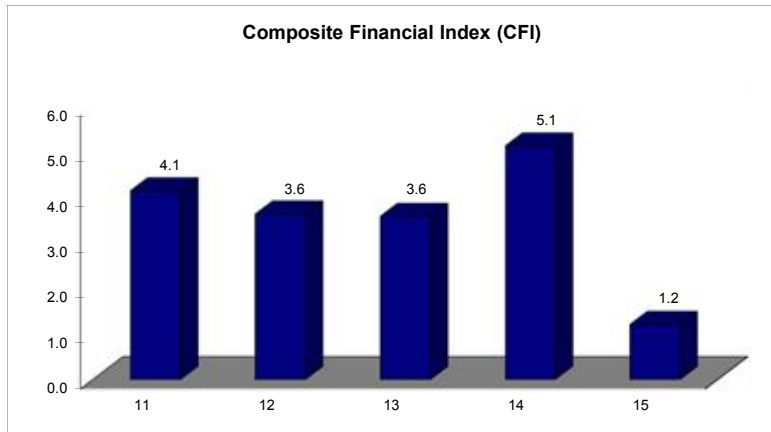


*For FY 2011 through 2014 the source of backlog data is the Facilities' Renewal Model (FRRM) and those systems that have exceeded their Life Cycle Age. Beginning in FY 2015 the deferred maintenance data is taken from the new annual BOR Campus Condition Report and the facilities' executives' assessment of those systems that have failed or will fail within the current budget cycle (within one year).

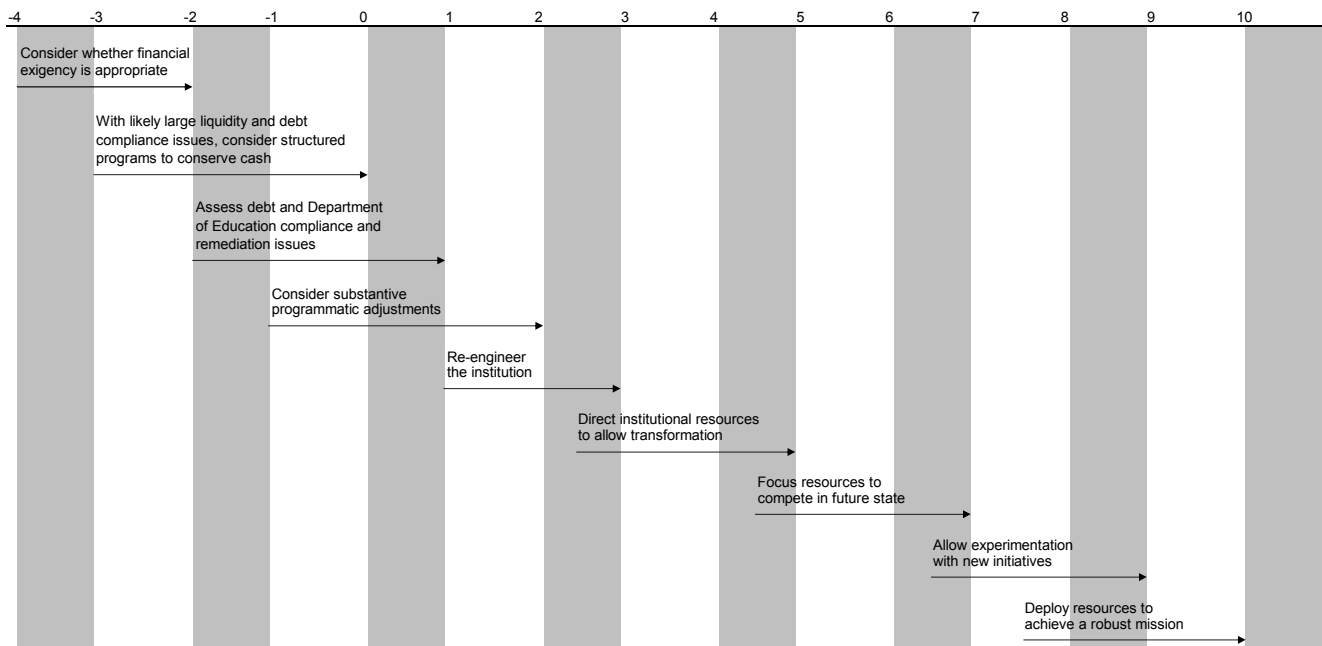
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**KEY INDICATORS OF FINANCIAL HEALTH
2011 THROUGH 2015**

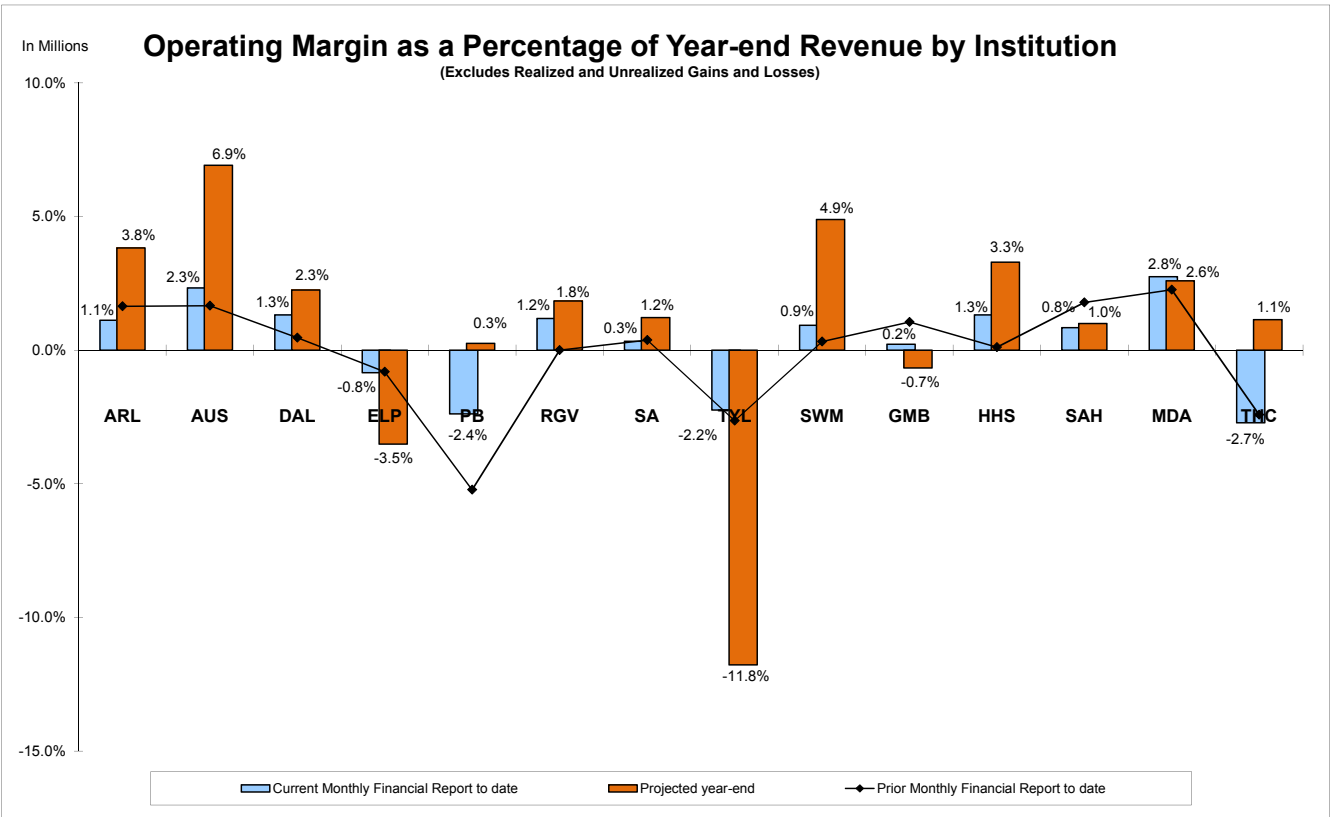
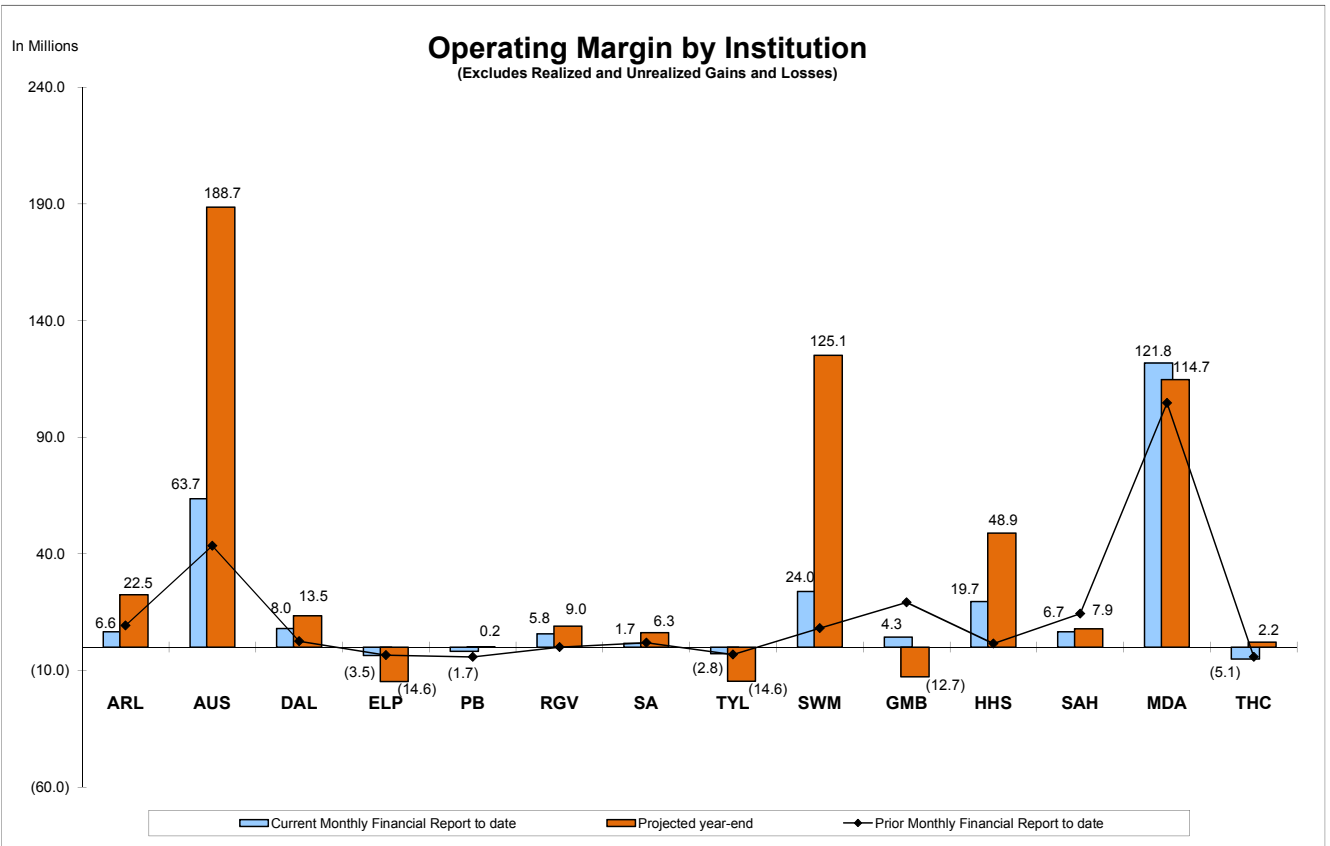


Scale for Charting CFI Performance



Source: Strategic Financial Analysis for Higher Education, Seventh Edition

KEY INDICATORS OF RESERVES YEAR-TO-DATE 2015 AND 2016 FROM NOVEMBER MONTHLY FINANCIAL REPORT PROJECTED 2016 YEAR-END MARGIN



THE UNIVERSITY OF TEXAS SYSTEM
OFFICE OF THE CONTROLLER

MONTHLY FINANCIAL REPORT
(unaudited)

DECEMBER 2015



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**THE UNIVERSITY OF TEXAS SYSTEM
MONTHLY FINANCIAL REPORT
(Unaudited)
FOR THE FOUR MONTHS ENDING
December 31, 2015**

**The University of Texas System
Monthly Financial Report**

Foreword

The Monthly Financial Report (MFR) compares the results of operations between the current year-to-date cumulative amounts and the prior year-to-date cumulative amounts. Explanations are provided for institutions having the largest variances in Adjusted Income (Loss) year-to-date as compared to the prior year, both in terms of dollars and percentages. In addition, although no significant variance may exist, institutions with losses may be discussed.

The data is reported in three sections: (1) Operating Revenues, (2) Operating Expenses, and (3) Other Nonoperating Adjustments. Presentation of state appropriation revenues are required under GASB 35 to be reflected as nonoperating revenues, so all institutions will report an Operating Loss prior to this adjustment. The MFR provides an Adjusted Income (Loss), which takes into account the nonoperating adjustments associated with core operating activities. An Adjusted Margin (as a percentage of operating and nonoperating revenue adjustments) is calculated for each period and is intended to reflect relative operating contributions to financial health.

UNAUDITED

The University of Texas System Consolidated
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	549,484,893.01	506,251,071.32	43,233,821.69	8.5%
Sponsored Programs	1,000,247,498.23	912,136,816.79	88,110,681.44	9.7%
Net Sales and Services of Educational Activities	217,245,238.65	149,836,210.41	67,409,028.24	45.0%
Net Sales and Services of Hospitals	1,834,815,709.94	1,668,709,446.99	166,106,262.95	10.0%
Net Professional Fees	548,599,493.77	502,080,102.84	46,519,390.93	9.3%
Net Auxiliary Enterprises	221,034,654.15	198,144,949.96	22,889,704.19	11.6%
Other Operating Revenues	128,691,670.06	123,026,489.11	5,665,180.95	4.6%
Total Operating Revenues	4,500,119,157.81	4,060,185,087.42	439,934,070.39	10.8%
Operating Expenses				
Salaries and Wages	2,641,591,702.80	2,395,372,323.79	246,219,379.01	10.3%
Payroll Related Costs	693,544,186.30	606,067,734.47	87,476,451.83	14.4%
Cost of Goods Sold	50,611,830.12	41,916,061.76	8,695,768.36	20.7%
Professional Fees and Services	160,560,704.89	132,976,491.20	27,584,213.69	20.7%
Other Contracted Services	255,520,273.20	236,607,850.70	18,912,422.50	8.0%
Travel	49,611,287.93	42,517,741.42	7,093,546.51	16.7%
Materials and Supplies	592,701,469.84	541,153,685.00	51,547,784.84	9.5%
Utilities	97,587,023.92	88,686,546.49	8,900,477.43	10.0%
Communications	39,440,362.99	50,793,034.42	(11,352,671.43)	-22.4%
Repairs and Maintenance	105,913,775.34	95,186,467.09	10,727,308.25	11.3%
Rentals and Leases	58,070,191.20	54,079,282.94	3,990,908.26	7.4%
Printing and Reproduction	12,056,106.91	11,233,497.96	822,608.95	7.3%
Bad Debt Expense	446,481.25	264,375.57	182,105.68	68.9%
Claims and Losses	2,662,024.73	11,155,805.41	(8,493,780.68)	-76.1%
Increase in Net OPEB Obligation	222,280,885.00	186,623,401.67	35,657,483.33	19.1%
Pension Expense	70,964,922.49	-	70,964,922.49	100.0%
Scholarships and Fellowships	109,650,713.82	104,434,639.98	5,216,073.84	5.0%
Depreciation and Amortization	417,670,295.72	376,057,300.56	41,612,995.16	11.1%
Federal Sponsored Program Pass-Through to Other State Agencies	8,018,500.08	5,407,266.64	2,611,233.44	48.3%
State Sponsored Program Pass-Through to Other State Agencies	1,302,095.93	1,287,138.47	14,957.46	1.2%
Other Operating Expenses	153,026,966.03	138,381,953.66	14,645,012.37	10.6%
Total Operating Expenses	5,743,231,800.49	5,120,202,599.20	623,029,201.29	12.2%
Operating Loss	(1,243,112,642.68)	(1,060,017,511.78)	(183,095,130.90)	-17.3%
Other Nonoperating Adjustments				
State Appropriations	748,331,951.31	674,856,380.28	73,475,571.03	10.9%
Nonexchange Sponsored Programs	81,430,800.99	62,663,748.16	18,767,052.83	29.9%
Gift Contributions for Operations	183,849,316.17	185,799,675.91	(1,950,359.74)	-1.0%
Net Investment Income	246,948,908.13	316,385,422.37	(69,436,514.24)	-21.9%
Interest Expense on Capital Asset Financings	(89,178,370.87)	(93,852,721.31)	4,674,350.44	5.0%
Net Other Nonoperating Adjustments	1,171,382,605.73	1,145,852,505.41	25,530,100.32	2.2%
Adjusted Income (Loss) including Depreciation & Amortization	(71,730,036.95)	85,834,993.63	(157,565,030.58)	-183.6%
Adjusted Margin % including Depreciation & Amortization	-1.2%	1.6%		
Investment Gain (Losses)	(721,725,817.44)	(600,732,475.57)	(120,993,341.87)	-20.1%
Adj. Inc. (Loss) with Investment Gains (Losses)	(793,455,854.39)	(514,897,481.94)	(278,558,372.45)	-54.1%
Adj. Margin % with Investment Gains (Losses)	-15.7%	-11.0%		
Adjusted Income (Loss) excluding Depreciation & Amortization	345,940,258.77	461,892,294.19	(115,952,035.42)	-25.1%
Adjusted Margin % excluding Depreciation & Amortization	6.0%	8.7%		

**The University of Texas System
Comparison of Adjusted Income (Loss)
For the Four Months Ending December 31, 2015**

	Including Depreciation and Amortization Expense			
	December	December	Variance	Fluctuation Percentage
	Year-to-Date FY 2016	Year-to-Date FY 2015		
U. T. System Administration	\$ (311,215,257.48)	\$ (91,027,206.38)	(220,188,051.10) (1)	-241.9%
U. T. Arlington	10,386,954.36	10,531,543.66	(144,589.30)	-1.4%
U. T. Austin	82,228,622.49	52,757,380.95	29,471,241.54 (2)	55.9%
U. T. Brownsville	(342,454.29)	(2,900,271.29)	2,557,817.00	88.2%
U. T. Dallas	3,316,315.27	5,004,829.91	(1,688,514.64) (3)	-33.7%
U. T. El Paso	(4,653,915.94)	(3,626,672.07)	(1,027,243.87) (4)	-28.3%
U. T. Permian Basin	(919,651.27)	(2,080,466.22)	1,160,814.95 (5)	55.8%
U. T. Rio Grande Valley	7,017,696.21	-	7,017,696.21	100.0%
U. T. San Antonio	2,936,889.43	4,014,345.30	(1,077,455.87) (6)	-26.8%
U. T. Tyler	(2,509,511.25)	(4,255,007.35)	1,745,496.10 (7)	41.0%
U. T. Southwestern Medical Center	48,041,182.56	27,791,591.37	20,249,591.19 (8)	72.9%
U. T. Medical Branch - Galveston	55,450.50	19,308,679.28	(19,253,228.78) (9)	-99.7%
U. T. Health Science Center - Houston	20,449,877.34	5,526,927.42	14,922,949.92 (10)	270.0%
U. T. Health Science Center - San Antonio	13,609,728.04	15,597,668.71	(1,987,940.67)	-12.7%
U. T. M. D. Anderson Cancer Center	164,087,298.03	133,775,077.36	30,312,220.67 (11)	22.7%
U. T. Health Science Center - Tyler	(7,115,260.95)	3,499,906.31	(10,615,167.26) (12)	-303.3%
Elimination of AUF Transfer	(97,104,000.00)	(88,083,333.33)	(9,020,666.67)	-10.2%
Total Adjusted Income (Loss)	(71,730,036.95)	85,834,993.63	(157,565,030.58)	-183.6%
Investment Gains (Losses)	(721,725,817.44)	(600,732,475.57)	(120,993,341.87)	-20.1%
Total Adjusted Income (Loss) with Investment Gains (Losses) Including Depreciation and Amortization	\$ (793,455,854.39)	\$ (514,897,481.94)	\$ (278,558,372.45)	-54.1%

	Excluding Depreciation and Amortization Expense			
	December	December	Variance	Fluctuation Percentage
	Year-to-Date FY 2016	Year-to-Date FY 2015		
U. T. System Administration	\$ (305,088,723.53)	\$ (86,324,804.12)	(218,763,919.41)	-253.4%
U. T. Arlington	25,645,938.38	25,468,147.77	177,790.61	0.7%
U. T. Austin	167,228,622.49	132,757,380.95	34,471,241.54	26.0%
U. T. Brownsville	(139,508.81)	(56,265.92)	(83,242.89)	-147.9%
U. T. Dallas	23,103,577.73	24,181,314.72	(1,077,736.99)	-4.5%
U. T. El Paso	5,811,055.08	6,577,788.67	(766,733.59)	-11.7%
U. T. Permian Basin	3,735,348.73	2,263,066.03	1,472,282.70	65.1%
U. T. Rio Grande Valley	19,303,508.72	-	19,303,508.72	100.0%
U. T. San Antonio	18,842,057.73	19,162,787.26	(320,729.53)	-1.7%
U. T. Tyler	2,028,823.23	(229,896.02)	2,258,719.25	982.5%
U. T. Southwestern Medical Center	100,451,541.11	74,406,373.67	26,045,167.44	35.0%
U. T. Medical Branch - Galveston	35,482,588.11	52,623,440.77	(17,140,852.66)	-32.6%
U. T. Health Science Center - Houston	40,940,373.48	25,353,938.13	15,586,435.35	61.5%
U. T. Health Science Center - San Antonio	31,276,394.71	33,097,668.71	(1,821,274.00)	-5.5%
U. T. M. D. Anderson Cancer Center	277,929,452.14	233,523,053.91	44,406,398.23	19.0%
U. T. Health Science Center - Tyler	(3,506,790.53)	7,171,632.99	(10,678,423.52)	-148.9%
Elimination of AUF Transfer	(97,104,000.00)	(88,083,333.33)	(9,020,666.67)	-10.2%
Total Adjusted Income (Loss)	345,940,258.77	461,892,294.19	(115,952,035.42)	-25.1%
Total Adjusted Income (Loss) Excluding Depreciation and Amortization	\$ 345,940,258.77	\$ 461,892,294.19	\$ (115,952,035.42)	-25.1%

THE UNIVERSITY OF TEXAS SYSTEM
EXPLANATION OF VARIANCES ON THE MONTHLY FINANCIAL REPORT
For the Four Months Ending December 31, 2015

Explanations are provided for institutions having the largest variances in adjusted income (loss) year-to-date as compared to the prior year, both in terms of dollars and percentages. Explanations are also provided for institutions with a current year-to-date adjusted loss and/or a projected year-to-date loss.

- (1) U. T. System Administration - The \$220.2 million (241.9%) increase in adjusted loss over the same period last year was primarily due to a decrease in oil and gas royalties, which are a component of net investment income. Additionally, GASB Statement No. 68, *Accounting and Financial Reporting for Pensions*, became effective in 2015. *U. T. System Administration* recognized an accrual of \$71.0 million for the entire *U. T. System* for the first four months of 2016; however, in 2015 the pension expense was not recognized until July. Also contributing to the increase in the adjusted loss was an increase of \$35.7 million in the accrual for Other Postemployment Benefits (OPEB) expense for the entire *U. T. System*. As a result of these factors, *U. T. System Administration* incurred a year-to-date loss of \$311.2 million. Excluding depreciation and amortization expense, *U. T. System Administration's* adjusted loss was \$305.1 million or -297.7% of revenues. *U. T. System Administration* anticipates ending the year with a \$962.7 million loss, -345.8% of projected revenues, which includes \$18.4 million of depreciation and amortization expense, as well as a \$666.8 million accrual for OPEB and a \$212.9 million accrual for pension expense.
- (2) U. T. Austin - The \$29.5 million (55.9%) increase in adjusted income over the same period last year was primarily attributable to the following: an increase in gift contributions for operations due to increased gift pledges including an \$8.3 million pledge from Houston Endowment Inc.; an increase in state appropriations; and an increase in funding from the Available University Fund primarily for operations and the new medical school. Excluding depreciation and amortization expense, *U. T. Austin's* adjusted income was \$167.2 million or 17.1% of revenues.
- (3) U. T. Dallas - The \$1.7 million (33.7%) decrease in adjusted income over the same period last year was primarily attributable to an increase in salaries and wages and payroll related costs as a result of merit increases and an increase in the number of full-time equivalents. Payroll related costs also increased due to increased premium sharing rates. Excluding depreciation and amortization expense, *U. T. Dallas's* adjusted income was \$23.1 million or 11.8% of revenues.
- (4) U. T. El Paso - The \$1.0 million (28.3%) increase in adjusted loss over the same period last year was largely attributable to an increase in salaries and wages due to a 2% merit pool increase implemented in 2016. *U. T. El Paso* incurred a year-to-date loss of \$4.7 million as a result of the increase in salaries and wages, combined with the following: an increase in tuition exemption scholarship expense, primarily related to the Hazelwood and Hazelwood Legacy programs; and an increase in depreciation expense over the last five years as a result of the rapid growth of buildings and research infrastructure on campus. Excluding depreciation and amortization expense, *U. T. El Paso's* adjusted income was \$5.8 million or 4.6% of revenues. *U. T. El Paso* anticipates ending the year with a \$14.6 million loss, -3.5% of projected revenues, which includes \$33.7 million of depreciation and amortization expense. *U. T. El Paso* is implementing measures to reduce spending, including a hiring freeze on positions that are not mission critical, utility savings efforts, and other cost savings measures.
- (5) U. T. Permian Basin - The \$1.2 million (55.8%) decrease in adjusted loss over the same period last year was primarily attributable to a decrease in scholarships and fellowships as a result of the PeopleSoft implementation of the student services system which delayed financial aid awards. State appropriations also increased due to new funding for the Rural Digital University, as well as increased enrollment. Despite these factors, *U. T. Permian Basin* still incurred a year-to-date loss of \$0.9 million as a result of increased salaries and wages and payroll related costs driven by merit increases and additional faculty to accommodate the increased enrollment. Payroll related costs also increased as a result of increased premium sharing rates. Excluding depreciation and amortization expense, *U. T. Permian Basin's* adjusted income was \$3.7 million or 14.0% of revenues. *U. T. Permian Basin* anticipates ending the year with a \$0.6 million positive margin, 0.9% of projected revenues, which includes \$13.4 million of depreciation and amortization expense.
- (6) U. T. San Antonio - The \$1.1 million (26.8%) decrease in adjusted income over the same period last year was primarily due to increases in salaries and wages and payroll related costs as a result of merit increases. Additionally, the monthly amount for Retiree Premium Sharing was not recorded in the prior year, which also contributed to the increase in payroll related costs. Excluding depreciation and amortization expense, *U. T. San Antonio's* adjusted income was \$18.8 million or 10.9% of revenues.
- (7) U. T. Tyler - The \$1.7 million (41.0%) decrease in adjusted loss over the same period last year was largely due to an increase in state appropriations. Despite this increase, *U. T. Tyler* still incurred a year-to-date loss of \$2.5 million, which was primarily attributable to an increase in salaries and wages and payroll related costs driven by merit and market increases. The number of full-time equivalents also increased as a result of the new College of Pharmacy and the implementation of PeopleSoft. Excluding depreciation and amortization expense, *U. T. Tyler's* adjusted income was \$2.0 million or 4.7% of revenues. *U. T. Tyler* anticipates ending the year with a \$13.9 million

loss, -11.4% of projected revenues, which includes \$13.6 million of depreciation and amortization expense. The projected loss is the result of an increase in personnel and renovation projects across the campus not meeting the threshold for capitalization.

(8) U. T. Southwestern Medical Center - The \$20.2 million (72.9%) increase in adjusted income over the same period last year was primarily attributable to an increase in net sales and services of hospitals as a result of increased outpatient and inpatient revenue and an increase in net professional fees primarily attributable to a reduction in charity care and a reduction in the contractual allowance for Medicaid. Other operating revenues also increased due to increases in revenue from the Delivery System Reform Incentive Payments (DSRIP), the Network Access Improvement Program, and *Southwestern's* Accountable Care Network. These increases in revenue were partially offset by increases in salaries and wages and payroll related costs as a result of additional employees, a 3% merit increase and increased premium sharing rates. Depreciation and amortization expense also increased due to the opening of the William P. Clements University Hospital in December 2014. Excluding depreciation and amortization expense, *Southwestern's* adjusted income was \$100.5 million or 11.4% of revenues.

(9) U. T. Medical Branch - Galveston - The \$19.3 million (99.7%) decrease in adjusted income as compared to the same period last year was primarily attributable to an increase in salaries and wages and payroll related costs due to the addition of 106 faculty full-time equivalents resulting from clinical recruitment. Salary adjustments and increased premium sharing rates also contributed to the increases in salaries and wages and payroll related costs. Excluding depreciation and amortization, *UTMB's* adjusted income was \$35.5 million or 5.7% of revenues. Although *UTMB* is not currently reporting a loss, they anticipate ending the year with a \$12.7 million loss which represents -0.7% of projected revenues and includes \$147.6 million of depreciation and amortization expense.

(10) U. T. Health Science Center - Houston - The \$14.9 million (270.0%) increase in adjusted income as compared to the same period last year was primarily attributable to an increase in sponsored program revenue related to growth of the physician practice plan. Net professional fees also increased due to an increase in gross charges as a result of faculty recruitments and the planned expansion and growth of the physician practice plan, as well as an increase in uncompensated care revenue. These revenue increases were partially offset by increased salaries and wages and payroll related costs as a result of the ongoing recruitment efforts related to the planned expansion and growth of the physician practice plan. Excluding depreciation and amortization expense, *UTHSC-Houston's* adjusted income was \$40.9 million or 8.1% of revenues.

(11) U. T. M. D. Anderson Cancer Center - The \$30.3 million (22.7%) increase in adjusted income over the same period last year was primarily due to an increase in gifts for operations resulting from a number of large gifts received in 2016 from the following: the Parker Foundation, the Maynard Family Foundation, Exxon Mobil, Stripes LLC, the Farmer Family Foundation, and the Mays Family

Foundation. Also contributing to the variance was an increase in net investment income. Excluding depreciation and amortization expense, *M. D. Anderson's* adjusted income was \$277.9 million or 17.9% of revenues.

(12) U. T. Health Science Center - Tyler - The \$10.6 million (303.3%) increase in adjusted loss as compared to adjusted income over the same period last year was primarily attributable to the following: a decrease in other operating revenues driven by a decrease of \$7.4 million in DSRIP revenue; and an increase in salaries and wages and payroll related costs as a result of the hiring of 66 behavioral health employees due to the dissolution of the main psychiatric subcontractor, as well as the addition of new employees for the new Population/Community Health Program and for the opening of the clinic in Lindale. As a result of these factors, *UTHSC-Tyler* incurred a year-to-date loss of \$7.1 million. Excluding depreciation and amortization expense, *UTHSC-Tyler's* adjusted loss was \$3.5 million or -6.2% of revenues. *UTHSC-Tyler* anticipates ending the year with a positive margin of \$2.2 million as a result of adjustments to the workforce size that are currently being planned. This represents 1.1% of projected revenues and includes \$10.8 million of depreciation and amortization expense.

GLOSSARY OF TERMS

OPERATING REVENUES:

NET STUDENT TUITION - All student tuition and fee revenues earned at the UT institution for educational purposes, net of tuition discounting.

SPONSORED PROGRAMS - Funding received from local, state and federal governments or private agencies, organizations or individuals, excluding Federal Pell Grant Program which is reported as nonoperating. Includes amounts received for services performed on grants, contracts, and agreements from these entities for current operations. This also includes indirect cost recoveries and pass-through federal and state grants.

NET SALES AND SERVICES OF EDUCATIONAL ACTIVITIES - Revenues that are related to the conduct of instruction, research, and public service and revenues from activities that exist to provide an instructional and laboratory experience for students that create goods and services that may be sold.

NET SALES AND SERVICES OF HOSPITALS - Revenues (net of discounts, allowances, and bad debt expense) generated from UT health institution's daily patient care, special or other services, as well as revenues from health clinics that are part of a hospital.

NET PROFESSIONAL FEES - Revenues (net of discounts, allowances, and bad debt expense) derived from the fees charged by the professional staffs at UT health institutions as part of the Medical Practice Plans. These revenues are also identified as Practice Plan income. Examples of such fees include doctor's fees for clinic visits, medical and dental procedures, professional opinions, and anatomical procedures, such as analysis of specimens after a surgical procedure, etc.

NET AUXILIARY ENTERPRISES - Revenues derived from a service to students, faculty, or staff in which a fee is charged that is directly related to, although not necessarily equal to the cost of the service (e.g., bookstores, dormitories, dining halls, snack bars, inter-collegiate athletic programs, etc.).

OTHER OPERATING REVENUES - Other revenues generated from sales or services provided to meet current fiscal year operating expenses, which are not included in the preceding categories (e.g., certified nonprofit healthcare company revenues, donated drugs, interest on student loans, etc.) Other receipts for settlements, judgments and lawsuits are considered nonoperating revenues.

OPERATING EXPENSES:

SALARIES AND WAGES - Expenses for all salaries and wages of individuals employed by the institution including full-time, part-time, longevity, hourly, seasonal, etc. Includes salary augmentation and incentive compensation.

PAYROLL RELATED COSTS - Expenses for all employee benefits paid by the institution or paid by the state on behalf of the institution. Includes supplemental retirement annuities.

COST OF GOODS SOLD - Purchases of goods for resale and raw materials purchased for use in the manufacture of products intended for sale to others.

PROFESSIONAL FEES AND SERVICES - Payments for services rendered on a fee, contract, or other basis by a person, firm, corporation, or company recognized as possessing a high degree of learning and responsibility. Includes such items as services of a consultant, legal counsel, financial or audit fees, medical contracted services, guest lecturers (not employees) and expert witnesses.

OTHER CONTRACTED SERVICES - Payments for services rendered on a contractual basis by a person, firm, corporation or company that possess a lesser degree of learning and responsibility than that required for Professional Fees and Services. Includes such items as temporary employment expenses, janitorial services, dry cleaning services, etc.

TRAVEL - Payments for travel costs incurred by employees and board members for meetings and training.

MATERIALS AND SUPPLIES - Payments for consumable items. Includes, but is not limited to: computer consumables, office supplies, paper products, soap, lights, plants, fuels and lubricants, chemicals and gasses, medical supplies and copier supplies. Also includes postal services, and subscriptions and other publications not for permanent retention.

UTILITIES - Payments for the purchase of electricity, natural gas, water, and thermal energy.

COMMUNICATIONS - Electronically transmitted communications services (telephone, internet, computation center services, etc.).

REPAIRS AND MAINTENANCE - Payments for the maintenance and repair of equipment, furnishings, motor vehicles, buildings and other plant facilities, and waste disposal. Includes, but is not limited to repair and maintenance to copy machines, furnishings, equipment - including medical and laboratory equipment, office equipment and aircraft.

RENTALS AND LEASES - Payments for rentals or leases of furnishings and equipment, vehicles, land and office buildings (all rental of space).

PRINTING AND REPRODUCTION - Printing and reproduction costs associated with the printing/copying of the institution's documents and publications.

BAD DEBT EXPENSE - Expenses incurred by the university related to nonrevenue receivables such as non-payment of student loans.

CLAIMS AND LOSSES - Payments for claims from self-insurance programs. Other claims for settlements, judgments and lawsuits are considered nonoperating expenses.

INCREASE IN NET OPEB OBLIGATION - The change in the actuarially estimated liability of the cost of providing healthcare benefits to UT System's employees after they separate from employment (retire).

PENSION EXPENSE - An estimate of year-end expense which will be allocated from the Texas Comptroller's Office based upon prior year amounts.

SCHOLARSHIPS AND FELLOWSHIPS - Payments made for scholarship grants to students authorized by law, net of tuition discounting.

DEPRECIATION AND AMORTIZATION - Depreciation on capital assets and amortization expense on intangible assets.

FEDERAL SPONSORED PROGRAM PASS-THROUGHS TO OTHER STATE AGENCIES - Pass-throughs to other Texas state agencies, including other universities, of federal grants and contracts.

STATE SPONSORED PROGRAM PASS-THROUGHS TO OTHER STATE AGENCIES - Pass-throughs to other Texas state agencies, including Texas universities.

OTHER OPERATING EXPENSES - Other operating expenses not identified in other line items above (e.g., certified non-profit healthcare company expenses, property taxes, insurance premiums, credit card fees, hazardous waste disposal expenses, meetings and conferences, etc.). Other claims for settlements, judgments and lawsuits are considered nonoperating expenses.

OPERATING LOSS - Total operating revenues less total operating expenses before other nonoperating adjustments like state appropriations.

OTHER NONOPERATING ADJUSTMENTS:

STATE APPROPRIATIONS - Appropriations from the State General Revenue fund, which supplement the UT institutional revenue in meeting operating expenses, such as faculty salaries, utilities, and institutional support.

NONEXCHANGE SPONSORED PROGRAMS - Funding received for the Federal Pell Grant Program, the portion of "state appropriations" funded by the American Recovery and Reinvestment Act, Texas Research Incentive Program (TRIP) and Enrollment Growth funding.

GIFT CONTRIBUTIONS FOR OPERATIONS - Consist of gifts from donors received for use in current operations, excluding gifts for capital acquisition and endowment gifts. Gifts for capital acquisition which can only be used to build or buy capital assets are excluded because they cannot be used to support current operations. Endowment gifts must be held in perpetuity and cannot be spent. The distributed income from endowment gifts must be spent according to the donor's stipulations.

NET INVESTMENT INCOME (on institutions' sheets) - Interest and dividend income on treasury balances, bank accounts, Short Term Fund, Intermediate Term Fund and Long Term Fund. It also includes distributed earnings from the Permanent Health Fund and patent and royalty income.

NET INVESTMENT INCOME (on the consolidated sheet) - Interest and dividend earnings of the Permanent University Fund, Short Term Fund, Intermediate Term Fund, Long Term Fund and Permanent Health Fund. This line item also includes the Available University Fund surface income, oil and gas royalties, and mineral lease bonus sales.

INTEREST EXPENSE ON CAPITAL ASSET FINANCINGS - Interest expenses associated with bond and note borrowings utilized to finance capital improvement projects by an institution. This consists of the interest portion of mandatory debt service transfers under the Revenue Financing System, Tuition Revenue bond and Permanent University Fund (PUF) bond programs. PUF interest expense is reported on System Administration as the debt legally belongs to the Board of Regents.

ADJUSTED INCOME (LOSS) including Depreciation and Amortization - Total operating revenues less total operating expenses including depreciation and amortization expense plus net other nonoperating adjustments.

ADJUSTED MARGIN % including Depreciation and Amortization - Percentage of Adjusted Income (Loss) including depreciation and amortization expense divided by Total Operating Revenues plus Net Nonoperating Adjustments less Interest Expense on Capital Asset Financings.

AVAILABLE UNIVERSITY FUND TRANSFER - Includes Available University Fund (AUF) transfer to System Administration for Educational and General operations and to UT Austin for Excellence Funding. These transfers are funded by investment earnings from the Permanent University Fund (PUF), which are required by law to be reported in the PUF at System Administration. On the MFR, investment income for System Administration has been reduced for the amount of the System Administration transfer so as not to overstate investment income for System Administration. The AUF transfers are eliminated at the consolidated level to avoid overstating System-wide revenues, as the amounts will be reflected as transfers at year-end.

INVESTMENT GAINS (LOSSES) - Realized and unrealized gains and losses on investments.

ADJUSTED INCOME (LOSS) excluding Depreciation and Amortization - Total operating revenues less total operating expenses excluding depreciation and amortization expense plus net other nonoperating adjustments.

ADJUSTED MARGIN % excluding Depreciation and Amortization - Percentage of Adjusted Income (Loss) excluding depreciation and amortization expense divided by Total Operating Revenues plus Net Nonoperating Adjustments less Interest Expense on Capital Asset Financings.

UNAUDITED

The University of Texas System Administration
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Sponsored Programs	11,069,294.00	1,125,000.00	9,944,294.00	883.9%
Net Sales and Services of Educational Activities	17,217,808.57	16,335,133.63	882,674.94	5.4%
Other Operating Revenues	36,496,059.18	23,633,813.34	12,862,245.84	54.4%
Total Operating Revenues	64,783,161.75	41,093,946.97	23,689,214.78	57.6%
Operating Expenses				
Salaries and Wages	21,897,042.04	17,292,811.03	4,604,231.01	26.6%
Payroll Related Costs	4,759,583.68	4,179,107.86	580,475.82	13.9%
Professional Fees and Services	5,282,371.56	3,899,605.72	1,382,765.84	35.5%
Other Contracted Services	9,412,219.20	11,185,820.89	(1,773,601.69)	-15.9%
Travel	456,052.00	419,803.65	36,248.35	8.6%
Materials and Supplies	10,301,419.87	10,114,697.63	186,722.24	1.8%
Utilities	82,647.91	122,917.43	(40,269.52)	-32.8%
Communications	5,071,996.91	3,992,207.02	1,079,789.89	27.0%
Repairs and Maintenance	8,094,332.85	5,478,526.44	2,615,806.41	47.7%
Rentals and Leases	2,340,353.73	1,252,157.42	1,088,196.31	86.9%
Printing and Reproduction	536,755.14	115,525.18	421,229.96	364.6%
Claims and Losses	2,662,024.73	11,155,805.41	(8,493,780.68)	-76.1%
Increase in Net OPEB Obligation	222,280,885.00	186,623,401.67	35,657,483.33	19.1%
Pension Expense	70,964,922.49	-	70,964,922.49	100.0%
Scholarships and Fellowships	5,809.71	177,000.00	(171,190.29)	-96.7%
Depreciation and Amortization	6,126,533.95	4,702,402.26	1,424,131.69	30.3%
State Sponsored Program Pass-Through to Other State Agencies	1,000,738.67	976,717.93	24,020.74	2.5%
Other Operating Expenses	20,807,428.35	15,633,621.21	5,173,807.14	33.1%
Total Operating Expenses	392,083,117.79	277,322,128.75	114,760,989.04	41.4%
Operating Loss	(327,299,956.04)	(236,228,181.78)	(91,071,774.26)	-38.6%
Other Nonoperating Adjustments				
State Appropriations	1,029,901.11	641,900.89	388,000.22	60.4%
Nonexchange Sponsored Programs	2,145,580.50	2,074,186.32	71,394.18	3.4%
Gift Contributions for Operations	481,048.91	39,150,762.51	(38,669,713.60)	-98.8%
Net Investment Income	3,258,808.36	109,564,693.54	(106,305,885.18)	-97.0%
Interest Expense on Capital Asset Financings	(21,613,729.99)	(22,760,848.19)	1,147,118.20	5.0%
Net Other Nonoperating Adjustments	(14,698,391.11)	128,670,695.07	(143,369,086.18)	-111.4%
Adjusted Income (Loss) including Depreciation & Amortization	(341,998,347.15)	(107,557,486.71)	(234,440,860.44)	-218.0%
Adjusted Margin % including Depreciation & Amortization	-477.0%	-55.9%		
Available University Fund Transfer	30,783,089.67	16,530,280.33	14,252,809.34	86.2%
Adjusted Income (Loss) with AUF Transfer	(311,215,257.48)	(91,027,206.38)	(220,188,051.10)	-241.9%
Adjusted Margin % with AUF Transfer	-303.7%	-43.5%		
Investment Gain (Losses)	(421,335,011.21)	(353,869,398.71)	(67,465,612.50)	-19.1%
Adj. Inc. (Loss) with AUF Transfer & Invest. Gains (Losses)	(732,550,268.69)	(444,896,605.09)	(287,653,663.60)	-64.7%
Adj. Margin % with AUF Transfer & Invest. Gains (Losses)	229.7%	307.2%		
Adjusted Income (Loss) with AUF Transfer excluding Depreciation & Amortization	(305,088,723.53)	(86,324,804.12)	(218,763,919.41)	-253.4%
Adjusted Margin % with AUF Transfer excluding Depreciation & Amortization	-297.7%	-41.3%		

UNAUDITED

The University of Texas at Arlington
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	81,728,195.32	76,553,005.32	5,175,190.00	6.8%
Sponsored Programs	21,876,952.94	22,245,342.42	(368,389.48)	-1.7%
Net Sales and Services of Educational Activities	6,418,583.45	7,692,271.44	(1,273,687.99)	-16.6%
Net Auxiliary Enterprises	14,141,078.52	12,168,193.39	1,972,885.13	16.2%
Other Operating Revenues	2,994,525.47	1,545,147.43	1,449,378.04	93.8%
Total Operating Revenues	127,159,335.70	120,203,960.00	6,955,375.70	5.8%
Operating Expenses				
Salaries and Wages	88,966,852.71	80,680,415.86	8,286,436.85	10.3%
Payroll Related Costs	19,718,210.21	18,268,123.34	1,450,086.87	7.9%
Cost of Goods Sold	2,158.74	3,059.68	(900.94)	-29.4%
Professional Fees and Services	3,025,213.18	2,986,863.49	38,349.69	1.3%
Other Contracted Services	17,706,432.78	15,538,832.28	2,167,600.50	13.9%
Travel	2,311,599.04	1,871,208.27	440,390.77	23.5%
Materials and Supplies	9,340,731.83	7,224,072.77	2,116,659.06	29.3%
Utilities	3,349,596.03	3,075,297.12	274,298.91	8.9%
Communications	2,377,211.86	2,426,201.75	(48,989.89)	-2.0%
Repairs and Maintenance	2,564,320.78	4,001,009.52	(1,436,688.74)	-35.9%
Rentals and Leases	1,523,488.28	959,382.56	564,105.72	58.8%
Printing and Reproduction	894,350.84	470,338.66	424,012.18	90.2%
Bad Debt Expense	87,883.83	206,090.60	(118,206.77)	-57.4%
Scholarships and Fellowships	10,931,305.71	10,405,532.19	525,773.52	5.1%
Depreciation and Amortization	15,258,984.02	14,936,604.11	322,379.91	2.2%
Federal Sponsored Program Pass-Through to Other State Agencies	1,360,376.22	881,459.84	478,916.38	54.3%
State Sponsored Program Pass-Through to Other State Agencies	40,926.01	38,132.68	2,793.33	7.3%
Other Operating Expenses	3,630,055.51	3,431,945.09	198,110.42	5.8%
Total Operating Expenses	183,089,697.58	167,404,569.81	15,685,127.77	9.4%
Operating Loss	(55,930,361.88)	(47,200,609.81)	(8,729,752.07)	-18.5%
Other Nonoperating Adjustments				
State Appropriations	43,827,663.67	39,875,428.33	3,952,235.34	9.9%
Nonexchange Sponsored Programs	19,403,277.13	15,000,000.00	4,403,277.13	29.4%
Gift Contributions for Operations	1,934,025.86	2,106,411.88	(172,386.02)	-8.2%
Net Investment Income	5,104,769.22	4,993,377.74	111,391.48	2.2%
Interest Expense on Capital Asset Financings	(3,952,419.64)	(4,243,064.48)	290,644.84	6.8%
Net Other Nonoperating Adjustments	66,317,316.24	57,732,153.47	8,585,162.77	14.9%
Adjusted Income (Loss) including Depreciation & Amortization	10,386,954.36	10,531,543.66	(144,589.30)	-1.4%
Adjusted Margin % including Depreciation & Amortization	5.3%	5.8%		
Investment Gain (Losses)	(2,678,913.27)	(3,016,182.87)	337,269.60	11.2%
Adj. Inc. (Loss) with Investment Gains (Losses)	7,708,041.09	7,515,360.79	192,680.30	2.6%
Adj. Margin % with Investment Gains (Losses)	4.0%	4.2%		
Adjusted Income (Loss) excluding Depreciation & Amortization	25,645,938.38	25,468,147.77	177,790.61	0.7%
Adjusted Margin % excluding Depreciation & Amortization	13.0%	14.0%		

UNAUDITED

The University of Texas at Austin
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	160,000,000.00	161,666,666.63	(1,666,666.63)	-1.0%
Sponsored Programs	180,493,792.38	181,936,713.44	(1,442,921.06)	-0.8%
Net Sales and Services of Educational Activities	142,186,155.71	82,883,582.68	59,302,573.03	71.5%
Net Auxiliary Enterprises	123,578,758.02	112,718,598.10	10,860,159.92	9.6%
Other Operating Revenues	2,793,442.99	1,880,508.20	912,934.79	48.5%
Total Operating Revenues	609,052,149.10	541,086,069.05	67,966,080.05	12.6%
Operating Expenses				
Salaries and Wages	391,249,184.19	357,193,426.32	34,055,757.87	9.5%
Payroll Related Costs	109,753,929.89	95,762,680.46	13,991,249.43	14.6%
Cost of Goods Sold	9,098,684.25	7,404,126.14	1,694,558.11	22.9%
Professional Fees and Services	9,445,061.70	10,480,814.63	(1,035,752.93)	-9.9%
Other Contracted Services	47,866,469.89	44,509,749.62	3,356,720.27	7.5%
Travel	12,768,802.29	13,565,561.16	(796,758.87)	-5.9%
Materials and Supplies	47,571,682.05	35,664,527.63	11,907,154.42	33.4%
Utilities	30,217,756.55	24,936,979.81	5,280,776.74	21.2%
Communications	13,795,862.83	25,172,320.40	(11,376,457.57)	-45.2%
Repairs and Maintenance	25,904,948.48	16,411,849.00	9,493,099.48	57.8%
Rentals and Leases	7,866,566.08	7,132,284.90	734,281.18	10.3%
Printing and Reproduction	2,932,688.40	3,222,517.55	(289,829.15)	-9.0%
Bad Debt Expense	275,496.10	1,287.59	274,208.51	21,296.3%
Scholarships and Fellowships	40,000,000.00	40,000,000.00	-	-
Depreciation and Amortization	85,000,000.00	80,000,000.00	5,000,000.00	6.3%
Federal Sponsored Program Pass-Through to Other State Agencies	1,257,501.31	1,256,513.68	987.63	0.1%
Other Operating Expenses	42,937,058.15	36,644,851.78	6,292,206.37	17.2%
Total Operating Expenses	877,941,692.16	799,359,490.67	78,582,201.49	9.8%
Operating Loss	(268,889,543.06)	(258,273,421.62)	(10,616,121.44)	-4.1%
Other Nonoperating Adjustments				
State Appropriations	119,016,254.46	108,196,264.80	10,819,989.66	10.0%
Nonexchange Sponsored Programs	14,666,666.67	15,866,666.67	(1,200,000.00)	-7.6%
Gift Contributions for Operations	60,202,633.06	43,029,168.56	17,173,464.50	39.9%
Net Investment Income	75,296,934.88	72,765,402.77	2,531,532.11	3.5%
Interest Expense on Capital Asset Financings	(15,168,323.52)	(16,910,033.56)	1,741,710.04	10.3%
Net Other Nonoperating Adjustments	254,014,165.55	222,947,469.24	31,066,696.31	13.9%
Adjusted Income (Loss) including Depreciation & Amortization	(14,875,377.51)	(35,325,952.38)	20,450,574.87	57.9%
Adjusted Margin % including Depreciation & Amortization	-1.7%	-4.5%		
Available University Fund Transfer	97,104,000.00	88,083,333.33	9,020,666.67	10.2%
Adjusted Income (Loss) with AUF Transfer	82,228,622.49	52,757,380.95	29,471,241.54	55.9%
Adjusted Margin % with AUF Transfer	8.4%	6.1%		
Investment Gain (Losses)	(137,860,282.82)	(112,058,709.50)	(25,801,573.32)	-23.0%
Adj. Inc. (Loss) with AUF Transfer & Invest. Gains (Losses)	(55,631,660.33)	(59,301,328.55)	\$3,669,668.22	6.2%
Adj. Margin % with AUF Transfer & Invest. Gains (Losses)	-6.6%	-7.8%		
Adjusted Income (Loss) with AUF Transfer excluding Depreciation & Amortization	167,228,622.49	132,757,380.95	34,471,241.54	26.0%
Adjusted Margin % with AUF Transfer excluding Depreciation & Amortization	17.1%	15.3%		

UNAUDITED

The University of Texas at Brownsville
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	-	9,940,645.50	(9,940,645.50)	-100.0%
Sponsored Programs	-	7,008,748.80	(7,008,748.80)	-100.0%
Net Sales and Services of Educational Activities	-	749,779.28	(749,779.28)	-100.0%
Net Auxiliary Enterprises	-	582,046.49	(582,046.49)	-100.0%
Other Operating Revenues	-	8,659.04	(8,659.04)	-100.0%
Total Operating Revenues	-	18,289,879.11	(18,289,879.11)	-100.0%
Operating Expenses				
Salaries and Wages	-	17,301,922.57	(17,301,922.57)	-100.0%
Payroll Related Costs	-	4,987,531.95	(4,987,531.95)	-100.0%
Professional Fees and Services	-	376,944.82	(376,944.82)	-100.0%
Other Contracted Services	-	291,784.36	(291,784.36)	-100.0%
Travel	-	511,591.66	(511,591.66)	-100.0%
Materials and Supplies	36,358.00	1,754,876.61	(1,718,518.61)	-97.9%
Utilities	-	663,046.96	(663,046.96)	-100.0%
Communications	-	81,289.96	(81,289.96)	-100.0%
Repairs and Maintenance	103,150.81	294,511.64	(191,360.83)	-65.0%
Rentals and Leases	-	1,130,822.51	(1,130,822.51)	-100.0%
Printing and Reproduction	-	112,953.90	(112,953.90)	-100.0%
Scholarships and Fellowships	-	3,175,653.94	(3,175,653.94)	-100.0%
Depreciation and Amortization	202,945.48	2,844,005.37	(2,641,059.89)	-92.9%
Federal Sponsored Program Pass-Through to Other State Agencies	-	58,390.61	(58,390.61)	-100.0%
Other Operating Expenses	-	1,540,829.38	(1,540,829.38)	-100.0%
Total Operating Expenses	342,454.29	35,126,156.24	(34,783,701.95)	-99.0%
Operating Loss	(342,454.29)	(16,836,277.13)	16,493,822.84	98.0%
Other Nonoperating Adjustments				
State Appropriations	-	13,463,366.01	(13,463,366.01)	-100.0%
Nonexchange Sponsored Programs	-	466,575.81	(466,575.81)	-100.0%
Gift Contributions for Operations	-	143,557.00	(143,557.00)	-100.0%
Net Investment Income	-	794,257.85	(794,257.85)	-100.0%
Interest Expense on Capital Asset Financings	-	(931,750.83)	931,750.83	100.0%
Net Other Nonoperating Adjustments	-	13,936,005.84	(13,936,005.84)	-100.0%
Adjusted Income (Loss) including Depreciation & Amortization	(342,454.29)	(2,900,271.29)	2,557,817.00	88.2%
Adjusted Margin % including Depreciation & Amortization			-8.7%	
Investment Gain (Losses)	-	(1,405,155.31)	1,405,155.31	100.0%
Adj. Inc. (Loss) with Investment Gains (Losses)	(342,454.29)	(4,305,426.60)	3,962,972.31	92.0%
Adj. Margin % with Investment Gains (Losses)			-13.6%	
Adjusted Income (Loss) excluding Depreciation & Amortization	(139,508.81)	(56,265.92)	(83,242.89)	-147.9%
Adjusted Margin % excluding Depreciation & Amortization			-0.2%	

UNAUDITED

The University of Texas at Dallas
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	94,690,938.93	89,507,292.02	5,183,646.91	5.8%
Sponsored Programs	19,571,064.15	19,536,624.64	34,439.51	0.2%
Net Sales and Services of Educational Activities	4,677,629.52	4,624,612.37	53,017.15	1.1%
Net Auxiliary Enterprises	9,584,980.46	9,928,994.03	(344,013.57)	-3.5%
Other Operating Revenues	1,441,345.77	1,786,779.64	(345,433.87)	-19.3%
Total Operating Revenues	129,965,958.83	125,384,302.70	4,581,656.13	3.7%
Operating Expenses				
Salaries and Wages	94,950,387.37	87,081,127.55	7,869,259.82	9.0%
Payroll Related Costs	22,241,838.32	20,218,892.63	2,022,945.69	10.0%
Professional Fees and Services	3,580,152.26	3,104,356.55	475,795.71	15.3%
Other Contracted Services	4,696,647.51	6,677,344.93	(1,980,697.42)	-29.7%
Travel	1,918,744.62	1,788,253.09	130,491.53	7.3%
Materials and Supplies	9,792,666.64	8,586,257.75	1,206,408.89	14.1%
Utilities	4,443,083.65	3,951,149.78	491,933.87	12.5%
Communications	160,738.36	186,026.85	(25,288.49)	-13.6%
Repairs and Maintenance	1,619,175.64	1,528,084.51	91,091.13	6.0%
Rentals and Leases	2,443,263.11	2,249,050.75	194,212.36	8.6%
Printing and Reproduction	509,630.60	767,363.67	(257,733.07)	-33.6%
Scholarships and Fellowships	14,030,227.14	16,494,143.35	(2,463,916.21)	-14.9%
Depreciation and Amortization	19,787,262.46	19,176,484.81	610,777.65	3.2%
Federal Sponsored Program Pass-Through to Other State Agencies	10,762.88	-	10,762.88	100.0%
State Sponsored Program Pass-Through to Other State Agencies	82,218.03	-	82,218.03	100.0%
Other Operating Expenses	7,516,291.43	6,666,226.84	850,064.59	12.8%
Total Operating Expenses	187,783,090.02	178,474,763.06	9,308,326.96	5.2%
Operating Loss	(57,817,131.19)	(53,090,460.36)	(4,726,670.83)	-8.9%
Other Nonoperating Adjustments				
State Appropriations	36,874,162.73	40,213,303.76	(3,339,141.03)	-8.3%
Nonexchange Sponsored Programs	17,559,452.00	7,583,599.00	9,975,853.00	131.5%
Gift Contributions for Operations	4,333,333.33	8,321,722.49	(3,988,389.16)	-47.9%
Net Investment Income	7,513,544.12	7,376,897.98	136,646.14	1.9%
Interest Expense on Capital Asset Financings	(5,147,045.72)	(5,400,232.96)	253,187.24	4.7%
Net Other Nonoperating Adjustments	61,133,446.46	58,095,290.27	3,038,156.19	5.2%
Adjusted Income (Loss) including Depreciation & Amortization	3,316,315.27	5,004,829.91	(1,688,514.64)	-33.7%
Adjusted Margin % including Depreciation & Amortization	1.7%	2.6%		
Investment Gain (Losses)	(11,431,999.66)	5,120,140.65	(16,552,140.31)	-323.3%
Adj. Inc. (Loss) with Investment Gains (Losses)	(8,115,684.39)	10,124,970.56	(18,240,654.95)	-180.2%
Adj. Margin % with Investment Gains (Losses)	-4.4%	5.2%		
Adjusted Income (Loss) excluding Depreciation & Amortization	23,103,577.73	24,181,314.72	(1,077,736.99)	-4.5%
Adjusted Margin % excluding Depreciation & Amortization	11.8%	12.8%		

UNAUDITED

The University of Texas at El Paso
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	38,054,544.95	38,442,172.00	(387,627.05)	-1.0%
Sponsored Programs	26,370,832.81	24,935,932.39	1,434,900.42	5.8%
Net Sales and Services of Educational Activities	3,022,833.04	1,965,144.58	1,057,688.46	53.8%
Net Auxiliary Enterprises	12,527,097.72	9,153,757.41	3,373,340.31	36.9%
Other Operating Revenues	(35,033.61)	31,997.22	(67,030.83)	-209.5%
Total Operating Revenues	79,940,274.91	74,529,003.60	5,411,271.31	7.3%
Operating Expenses				
Salaries and Wages	62,506,749.45	56,623,296.07	5,883,453.38	10.4%
Payroll Related Costs	15,141,966.32	15,480,804.30	(338,837.98)	-2.2%
Professional Fees and Services	3,724,839.24	1,399,121.03	2,325,718.21	166.2%
Other Contracted Services	4,767,443.47	6,798,102.79	(2,030,659.32)	-29.9%
Travel	2,601,716.22	2,503,903.02	97,813.20	3.9%
Materials and Supplies	6,925,361.34	8,557,303.52	(1,631,942.18)	-19.1%
Utilities	2,903,413.84	2,637,176.73	266,237.11	10.1%
Communications	500,435.47	563,461.00	(63,025.53)	-11.2%
Repairs and Maintenance	1,902,388.01	2,303,087.67	(400,699.66)	-17.4%
Rentals and Leases	1,196,761.48	1,955,526.65	(758,765.17)	-38.8%
Printing and Reproduction	343,041.94	446,436.25	(103,394.31)	-23.2%
Scholarships and Fellowships	8,336,691.28	5,778,085.66	2,558,605.62	44.3%
Depreciation and Amortization	10,464,971.02	10,204,460.74	260,510.28	2.6%
Federal Sponsored Program Pass-Through to Other State Agencies	1,241,163.39	527,999.98	713,163.41	135.1%
State Sponsored Program Pass-Through to Other State Agencies	-	24,234.09	(24,234.09)	-100.0%
Other Operating Expenses	4,754,945.09	3,075,130.79	1,679,814.30	54.6%
Total Operating Expenses	127,311,887.56	118,878,130.29	8,433,757.27	7.1%
Operating Loss	(47,371,612.65)	(44,349,126.69)	(3,022,485.96)	-6.8%
Other Nonoperating Adjustments				
State Appropriations	36,955,976.00	34,437,588.00	2,518,388.00	7.3%
Nonexchange Sponsored Programs	1,981,256.99	2,460,484.86	(479,227.87)	-19.5%
Gift Contributions for Operations	1,613,224.69	2,019,845.91	(406,621.22)	-20.1%
Net Investment Income	4,561,034.43	4,411,505.09	149,529.34	3.4%
Interest Expense on Capital Asset Financings	(2,393,795.40)	(2,606,969.24)	213,173.84	8.2%
Net Other Nonoperating Adjustments	42,717,696.71	40,722,454.62	1,995,242.09	4.9%
Adjusted Income (Loss) including Depreciation & Amortization	(4,653,915.94)	(3,626,672.07)	(1,027,243.87)	-28.3%
Adjusted Margin % including Depreciation & Amortization	-3.7%	-3.1%		
Investment Gain (Losses)	(7,430,032.59)	(8,583,697.31)	1,153,664.72	13.4%
Adj. Inc. (Loss) with Investment Gains (Losses)	(12,083,948.53)	(12,210,369.38)	126,420.85	1.0%
Adj. Margin % with Investment Gains (Losses)	-10.3%	-11.2%		
Adjusted Income (Loss) excluding Depreciation & Amortization	5,811,055.08	6,577,788.67	(766,733.59)	-11.7%
Adjusted Margin % excluding Depreciation & Amortization	4.6%	5.6%		

UNAUDITED

The University of Texas of the Permian Basin
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	6,603,595.57	5,581,771.44	1,021,824.13	18.3%
Sponsored Programs	2,769,798.32	2,340,774.83	429,023.49	18.3%
Net Sales and Services of Educational Activities	405,346.23	764,095.80	(358,749.57)	-47.0%
Net Auxiliary Enterprises	1,939,771.26	981,278.72	958,492.54	97.7%
Other Operating Revenues	190,686.53	36,655.66	154,030.87	420.2%
Total Operating Revenues	11,909,197.91	9,704,576.45	2,204,621.46	22.7%
Operating Expenses				
Salaries and Wages	11,092,568.64	9,301,240.68	1,791,327.96	19.3%
Payroll Related Costs	2,608,032.23	1,905,021.31	703,010.92	36.9%
Cost of Goods Sold	2,646.02	4,642.63	(1,996.61)	-43.0%
Professional Fees and Services	420,597.04	1,608,291.19	(1,187,694.15)	-73.8%
Other Contracted Services	807,873.24	1,315,144.24	(507,271.00)	-38.6%
Travel	476,286.82	355,403.90	120,882.92	34.0%
Materials and Supplies	1,895,599.81	1,602,462.70	293,137.11	18.3%
Utilities	621,991.95	839,511.94	(217,519.99)	-25.9%
Communications	220,619.44	208,236.08	12,383.36	5.9%
Repairs and Maintenance	27,971.14	522,541.77	(494,570.63)	-94.6%
Rentals and Leases	111,918.75	150,562.25	(38,643.50)	-25.7%
Printing and Reproduction	59,116.51	27,687.76	31,428.75	113.5%
Scholarships and Fellowships	2,429,030.49	3,104,131.25	(675,100.76)	-21.7%
Depreciation and Amortization	4,655,000.00	4,343,532.25	311,467.75	7.2%
Federal Sponsored Program Pass-Through to Other State Agencies	(44,024.12)	-	(44,024.12)	100.0%
Other Operating Expenses	392,522.22	484,606.07	(92,083.85)	-19.0%
Total Operating Expenses	25,777,750.18	25,773,016.02	4,734.16	-
Operating Loss	(13,868,552.27)	(16,068,439.57)	2,199,887.30	13.7%
Other Nonoperating Adjustments				
State Appropriations	12,048,561.33	9,720,929.72	2,327,631.61	23.9%
Nonexchange Sponsored Programs	863,747.88	805,082.74	58,665.14	7.3%
Gift Contributions for Operations	496,801.61	4,647,514.03	(4,150,712.42)	-89.3%
Net Investment Income	1,310,297.82	718,190.42	592,107.40	82.4%
Interest Expense on Capital Asset Financings	(1,770,507.64)	(1,903,743.56)	133,235.92	7.0%
Net Other Nonoperating Adjustments	12,948,901.00	13,987,973.35	(1,039,072.35)	-7.4%
Adjusted Income (Loss) including Depreciation & Amortization	(919,651.27)	(2,080,466.22)	1,160,814.95	55.8%
Adjusted Margin % including Depreciation & Amortization	-3.5%	-8.1%		
Investment Gain (Losses)	(1,494,737.84)	(1,118,039.54)	(376,698.30)	-33.7%
Adj. Inc. (Loss) with Investment Gains (Losses)	(2,414,389.11)	(3,198,505.76)	784,116.65	24.5%
Adj. Margin % with Investment Gains (Losses)	-9.6%	-13.1%		
Adjusted Income (Loss) excluding Depreciation & Amortization	3,735,348.73	2,263,066.03	1,472,282.70	65.1%
Adjusted Margin % excluding Depreciation & Amortization	14.0%	8.8%		

UNAUDITED

The University of Texas Rio Grande Valley
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	39,113,271.00	-	39,113,271.00	100.0%
Sponsored Programs	27,001,222.12	-	27,001,222.12	100.0%
Net Sales and Services of Educational Activities	2,146,246.77	-	2,146,246.77	100.0%
Net Auxiliary Enterprises	2,926,855.73	-	2,926,855.73	100.0%
Other Operating Revenues	460,953.99	-	460,953.99	100.0%
Total Operating Revenues	71,648,549.61	-	71,648,549.61	100.0%
Operating Expenses				
Salaries and Wages	64,949,419.40	-	64,949,419.40	100.0%
Payroll Related Costs	16,826,746.13	-	16,826,746.13	100.0%
Cost of Goods Sold	139,098.38	-	139,098.38	100.0%
Professional Fees and Services	407,190.40	-	407,190.40	100.0%
Other Contracted Services	1,919,781.75	-	1,919,781.75	100.0%
Travel	2,047,644.87	-	2,047,644.87	100.0%
Materials and Supplies	3,245,728.20	-	3,245,728.20	100.0%
Utilities	2,848,708.74	-	2,848,708.74	100.0%
Communications	54,429.88	-	54,429.88	100.0%
Repairs and Maintenance	1,952,895.85	-	1,952,895.85	100.0%
Rentals and Leases	1,548,911.54	-	1,548,911.54	100.0%
Printing and Reproduction	206,291.32	-	206,291.32	100.0%
Bad Debt Expense	4,700.38	-	4,700.38	100.0%
Scholarships and Fellowships	8,350,179.44	-	8,350,179.44	100.0%
Depreciation and Amortization	12,285,812.51	-	12,285,812.51	100.0%
Federal Sponsored Program Pass-Through to Other State Agencies	86,865.11	-	86,865.11	100.0%
Other Operating Expenses	2,198,921.69	-	2,198,921.69	100.0%
Total Operating Expenses	119,073,325.59	-	119,073,325.59	100.0%
Operating Loss	(47,424,775.98)	-	(47,424,775.98)	100.0%
Other Nonoperating Adjustments				
State Appropriations	51,375,239.00	-	51,375,239.00	100.0%
Nonexchange Sponsored Programs	2,037,785.41	-	2,037,785.41	100.0%
Gift Contributions for Operations	932,117.76	-	932,117.76	100.0%
Net Investment Income	2,203,277.94	-	2,203,277.94	100.0%
Interest Expense on Capital Asset Financings	(2,105,947.92)	-	(2,105,947.92)	100.0%
Net Other Nonoperating Adjustments	54,442,472.19	-	54,442,472.19	100.0%
Adjusted Income (Loss) including Depreciation & Amortization	7,017,696.21	-	7,017,696.21	100.0%
Adjusted Margin % including Depreciation & Amortization	5.5%			
Investment Gain (Losses)	(1,811,600.18)	-	(1,811,600.18)	100.0%
Adj. Inc. (Loss) with Investment Gains (Losses)	5,206,096.03	-	5,206,096.03	100.0%
Adj. Margin % with Investment Gains (Losses)	4.1%			
Adjusted Income (Loss) excluding Depreciation & Amortization	19,303,508.72	-	19,303,508.72	100.0%
Adjusted Margin % excluding Depreciation & Amortization	15.1%			

UNAUDITED

The University of Texas at San Antonio
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	63,391,447.92	62,556,856.82	834,591.10	1.3%
Sponsored Programs	19,922,671.52	19,250,256.74	672,414.78	3.5%
Net Sales and Services of Educational Activities	4,912,855.40	4,041,509.88	871,345.52	21.6%
Net Auxiliary Enterprises	15,071,303.43	14,899,657.68	171,645.75	1.2%
Other Operating Revenues	1,426,292.44	933,469.06	492,823.38	52.8%
Total Operating Revenues	104,724,570.71	101,681,750.18	3,042,820.53	3.0%
Operating Expenses				
Salaries and Wages	78,982,112.37	75,286,310.89	3,695,801.48	4.9%
Payroll Related Costs	20,535,349.22	18,128,234.56	2,407,114.66	13.3%
Cost of Goods Sold	133,333.36	42,555.89	90,777.47	213.3%
Professional Fees and Services	2,102,546.13	1,455,066.28	647,479.85	44.5%
Other Contracted Services	4,963,281.65	5,009,253.04	(45,971.39)	-0.9%
Travel	3,311,762.55	3,004,093.52	307,669.03	10.2%
Materials and Supplies	11,011,491.49	10,181,985.60	829,505.89	8.1%
Utilities	2,958,115.67	4,433,333.33	(1,475,217.66)	-33.3%
Communications	1,005,782.70	867,256.27	138,526.43	16.0%
Repairs and Maintenance	2,265,818.39	2,595,095.63	(329,277.24)	-12.7%
Rentals and Leases	763,146.36	748,253.75	14,892.61	2.0%
Printing and Reproduction	401,687.88	415,662.18	(13,974.30)	-3.4%
Bad Debt Expense	78,400.94	50,000.00	28,400.94	56.8%
Scholarships and Fellowships	14,546,741.01	13,175,791.38	1,370,949.63	10.4%
Depreciation and Amortization	15,905,168.30	15,148,441.96	756,726.34	5.0%
Federal Sponsored Program Pass-Through to Other State Agencies	347,360.42	367,307.62	(19,947.20)	-5.4%
Other Operating Expenses	5,056,325.55	3,697,414.91	1,358,910.64	36.8%
Total Operating Expenses	164,368,423.99	154,606,056.81	9,762,367.18	6.3%
Operating Loss	(59,643,853.28)	(52,924,306.63)	(6,719,546.65)	-12.7%
Other Nonoperating Adjustments				
State Appropriations	41,696,127.33	41,028,742.00	667,385.33	1.6%
Nonexchange Sponsored Programs	17,083,315.00	15,575,715.00	1,507,600.00	9.7%
Gift Contributions for Operations	2,666,666.67	2,321,508.70	345,157.97	14.9%
Net Investment Income	6,041,232.39	3,277,407.47	2,763,824.92	84.3%
Interest Expense on Capital Asset Financings	(4,906,598.68)	(5,264,721.24)	358,122.56	6.8%
Net Other Nonoperating Adjustments	62,580,742.71	56,938,651.93	5,642,090.78	9.9%
Adjusted Income (Loss) including Depreciation & Amortization	2,936,889.43	4,014,345.30	(1,077,455.87)	-26.8%
Adjusted Margin % including Depreciation & Amortization	1.7%	2.4%		
Investment Gain (Losses)	(10,541,164.59)	27,445,467.71	(37,986,632.30)	-138.4%
Adj. Inc. (Loss) with Investment Gains (Losses)	(7,604,275.16)	31,459,813.01	(39,064,088.17)	-124.2%
Adj. Margin % with Investment Gains (Losses)	-4.7%	16.4%		
Adjusted Income (Loss) excluding Depreciation & Amortization	18,842,057.73	19,162,787.26	(320,729.53)	-1.7%
Adjusted Margin % excluding Depreciation & Amortization	10.9%	11.7%		

UNAUDITED

The University of Texas at Tyler
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	13,549,239.92	12,461,378.67	1,087,861.25	8.7%
Sponsored Programs	3,818,906.46	5,120,319.64	(1,301,413.18)	-25.4%
Net Sales and Services of Educational Activities	3,498,527.46	995,415.02	2,503,112.44	251.5%
Net Auxiliary Enterprises	2,827,804.00	1,833,002.11	994,801.89	54.3%
Other Operating Revenues	196,143.92	34,527.95	161,615.97	468.1%
Total Operating Revenues	23,890,621.76	20,444,643.39	3,445,978.37	16.9%
Operating Expenses				
Salaries and Wages	22,460,963.87	18,855,268.28	3,605,695.59	19.1%
Payroll Related Costs	5,351,511.53	4,839,575.97	511,935.56	10.6%
Cost of Goods Sold	7,341.29	3,459.01	3,882.28	112.2%
Professional Fees and Services	722,464.35	941,938.25	(219,473.90)	-23.3%
Other Contracted Services	2,038,904.11	1,843,531.03	195,373.08	10.6%
Travel	662,047.02	515,592.17	146,454.85	28.4%
Materials and Supplies	3,374,698.85	2,952,038.48	422,660.37	14.3%
Utilities	769,585.08	742,026.66	27,558.42	3.7%
Communications	179,508.44	645,585.27	(466,076.83)	-72.2%
Repairs and Maintenance	909,646.98	1,015,218.90	(105,571.92)	-10.4%
Rentals and Leases	231,019.10	201,686.40	29,332.70	14.5%
Printing and Reproduction	508,669.69	507,961.01	708.68	0.1%
Bad Debt Expense	-	6,997.38	(6,997.38)	-100.0%
Scholarships and Fellowships	892,701.56	1,415,598.55	(522,896.99)	-36.9%
Depreciation and Amortization	4,538,334.48	4,025,111.33	513,223.15	12.8%
Federal Sponsored Program Pass-Through to Other State Agencies	-	23,303.00	(23,303.00)	-100.0%
Other Operating Expenses	1,315,009.69	817,634.80	497,374.89	60.8%
Total Operating Expenses	43,962,406.04	39,352,526.49	4,609,879.55	11.7%
Operating Loss	(20,071,784.28)	(18,907,883.10)	(1,163,901.18)	-6.2%
Other Nonoperating Adjustments				
State Appropriations	13,282,016.00	12,020,285.24	1,261,730.76	10.5%
Nonexchange Sponsored Programs	3,294,836.00	64,827.00	3,230,009.00	4,982.5%
Gift Contributions for Operations	963,853.76	2,432,256.11	(1,468,402.35)	-60.4%
Net Investment Income	1,344,661.03	1,541,500.12	(196,839.09)	-12.8%
Interest Expense on Capital Asset Financings	(1,323,093.76)	(1,405,992.72)	82,898.96	5.9%
Net Other Nonoperating Adjustments	17,562,273.03	14,652,875.75	2,909,397.28	19.9%
Adjusted Income (Loss) including Depreciation & Amortization	(2,509,511.25)	(4,255,007.35)	1,745,496.10	41.0%
Adjusted Margin % including Depreciation & Amortization	-5.9%	-11.7%		
Investment Gain (Losses)	(2,486,580.92)	(2,005,524.93)	(481,055.99)	-24.0%
Adj. Inc. (Loss) with Investment Gains (Losses)	(4,996,092.17)	(6,260,532.28)	1,264,440.11	20.2%
Adj. Margin % with Investment Gains (Losses)	-12.4%	-18.1%		
Adjusted Income (Loss) excluding Depreciation & Amortization	2,028,823.23	(229,896.02)	2,258,719.25	982.5%
Adjusted Margin % excluding Depreciation & Amortization	4.7%	-0.6%		

UNAUDITED

The University of Texas Southwestern Medical Center
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	7,575,771.73	7,416,692.33	159,079.40	2.1%
Sponsored Programs	187,581,220.43	175,715,550.75	11,865,669.68	6.8%
Net Sales and Services of Educational Activities	4,360,371.78	3,359,454.84	1,000,916.94	29.8%
Net Sales and Services of Hospitals	353,114,026.61	296,196,307.20	56,917,719.41	19.2%
Net Professional Fees	175,392,642.33	157,538,528.11	17,854,114.22	11.3%
Net Auxiliary Enterprises	10,157,190.55	7,880,071.97	2,277,118.58	28.9%
Other Operating Revenues	20,658,369.43	10,825,887.41	9,832,482.02	90.8%
Total Operating Revenues	758,839,592.86	658,932,492.61	99,907,100.25	15.2%
Operating Expenses				
Salaries and Wages	426,930,310.49	385,804,060.43	41,126,250.06	10.7%
Payroll Related Costs	111,524,550.88	88,350,177.61	23,174,373.27	26.2%
Cost of Goods Sold	2,339,620.37	1,987,513.50	352,106.87	17.7%
Professional Fees and Services	22,353,726.41	14,152,314.13	8,201,412.28	58.0%
Other Contracted Services	43,520,858.65	39,572,673.03	3,948,185.62	10.0%
Travel	4,131,423.84	3,331,882.73	799,541.11	24.0%
Materials and Supplies	122,499,747.71	119,875,977.52	2,623,770.19	2.2%
Utilities	8,870,980.18	8,465,215.41	405,764.77	4.8%
Communications	3,923,764.38	3,883,158.57	40,605.81	1.0%
Repairs and Maintenance	4,408,711.62	3,459,243.93	949,467.69	27.4%
Rentals and Leases	2,716,251.29	2,033,375.88	682,875.41	33.6%
Printing and Reproduction	967,907.20	965,951.85	1,955.35	0.2%
Scholarships and Fellowships	455,186.75	847,490.67	(392,303.92)	-46.3%
Depreciation and Amortization	52,410,358.55	46,614,782.30	5,795,576.25	12.4%
Federal Sponsored Program Pass-Through to Other State Agencies	872,022.07	526,020.56	346,001.51	65.8%
Other Operating Expenses	17,361,177.86	14,669,986.65	2,691,191.21	18.3%
Total Operating Expenses	825,286,598.25	734,539,824.77	90,746,773.48	12.4%
Operating Loss	(66,447,005.39)	(75,607,332.16)	9,160,326.77	12.1%
Other Nonoperating Adjustments				
State Appropriations	61,916,599.00	57,390,619.12	4,525,979.88	7.9%
Gift Contributions for Operations	29,210,039.93	25,067,925.74	4,142,114.19	16.5%
Net Investment Income	33,563,599.42	31,648,832.99	1,914,766.43	6.1%
Interest Expense on Capital Asset Financings	(10,202,050.40)	(10,708,454.32)	506,403.92	4.7%
Net Other Nonoperating Adjustments	114,488,187.95	103,398,923.53	11,089,264.42	10.7%
Adjusted Income (Loss) including Depreciation & Amortization	48,041,182.56	27,791,591.37	20,249,591.19	72.9%
Adjusted Margin % including Depreciation & Amortization	5.4%	3.6%		
Investment Gain (Losses)	(61,272,771.52)	(54,565,330.70)	(6,707,440.82)	-12.3%
Adj. Inc. (Loss) with Investment Gains (Losses)	(13,231,588.96)	(26,773,739.33)	13,542,150.37	50.6%
Adj. Margin % with Investment Gains (Losses)	-1.6%	-3.7%		
Adjusted Income (Loss) excluding Depreciation & Amortization	100,451,541.11	74,406,373.67	26,045,167.44	35.0%
Adjusted Margin % excluding Depreciation & Amortization	11.4%	9.6%		

UNAUDITED

The University of Texas Medical Branch at Galveston
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	12,467,620.23	12,355,021.31	112,598.92	0.9%
Sponsored Programs	59,814,351.14	61,827,478.25	(2,013,127.11)	-3.3%
Net Sales and Services of Educational Activities	5,895,506.86	6,291,634.45	(396,127.59)	-6.3%
Net Sales and Services of Hospitals	329,196,351.65	306,818,318.04	22,378,033.61	7.3%
Net Professional Fees	56,118,505.54	53,738,828.88	2,379,676.66	4.4%
Net Auxiliary Enterprises	3,115,615.45	2,413,122.46	702,492.99	29.1%
Other Operating Revenues	19,353,538.88	26,857,927.62	(7,504,388.74)	-27.9%
Total Operating Revenues	485,961,489.75	470,302,331.01	15,659,158.74	3.3%
Operating Expenses				
Salaries and Wages	317,285,307.66	293,159,130.36	24,126,177.30	8.2%
Payroll Related Costs	84,673,390.80	77,296,210.07	7,377,180.73	9.5%
Cost of Goods Sold	29,394,233.10	25,067,681.63	4,326,551.47	17.3%
Professional Fees and Services	11,309,366.77	10,715,420.62	593,946.15	5.5%
Other Contracted Services	38,423,539.53	34,994,337.46	3,429,202.07	9.8%
Travel	2,617,065.35	2,334,786.36	282,278.99	12.1%
Materials and Supplies	49,854,492.19	47,719,760.41	2,134,731.78	4.5%
Utilities	12,716,139.40	11,433,657.27	1,282,482.13	11.2%
Communications	3,267,384.90	2,983,602.73	283,782.17	9.5%
Repairs and Maintenance	16,085,430.90	14,682,883.98	1,402,546.92	9.6%
Rentals and Leases	8,809,760.52	9,073,994.05	(264,233.53)	-2.9%
Printing and Reproduction	527,543.26	461,486.22	66,057.04	14.3%
Scholarships and Fellowships	2,952,884.56	2,508,177.74	444,706.82	17.7%
Depreciation and Amortization	35,427,137.61	33,314,761.49	2,112,376.12	6.3%
Federal Sponsored Program Pass-Through to Other State Agencies	166,463.64	280,924.73	(114,461.09)	-40.7%
Other Operating Expenses	8,728,118.69	13,976,803.52	(5,248,684.83)	-37.6%
Total Operating Expenses	622,238,258.88	580,003,618.64	42,234,640.24	7.3%
Operating Loss	(136,276,769.13)	(109,701,287.63)	(26,575,481.50)	-24.2%
Other Nonoperating Adjustments				
State Appropriations	120,540,641.10	115,577,117.97	4,963,523.13	4.3%
Nonexchange Sponsored Programs	398,969.20	405,838.80	(6,869.60)	-1.7%
Gift Contributions for Operations	2,827,289.29	2,075,874.26	751,415.03	36.2%
Net Investment Income	15,034,177.08	13,420,647.93	1,613,529.15	12.0%
Interest Expense on Capital Asset Financings	(2,468,857.04)	(2,469,512.05)	655.01	-
Net Other Nonoperating Adjustments	136,332,219.63	129,009,966.91	7,322,252.72	5.7%
Adjusted Income (Loss) including Depreciation & Amortization	55,450.50	19,308,679.28	(19,253,228.78)	-99.7%
Adjusted Margin % including Depreciation & Amortization	-	3.2%		
Investment Gain (Losses)	(18,722,501.28)	(17,371,273.33)	(1,351,227.95)	-7.8%
Adj. Inc. (Loss) with Investment Gains (Losses)	(18,667,050.78)	1,937,405.95	(20,604,456.73)	-1,063.5%
Adj. Margin % with Investment Gains (Losses)	-3.1%	0.3%		
Adjusted Income (Loss) excluding Depreciation & Amortization	35,482,588.11	52,623,440.77	(17,140,852.66)	-32.6%
Adjusted Margin % excluding Depreciation & Amortization	5.7%	8.7%		

UNAUDITED

The University of Texas Health Science Center at Houston
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	18,889,864.87	16,778,653.17	2,111,211.70	12.6%
Sponsored Programs	234,510,013.63	194,453,817.47	40,056,196.16	20.6%
Net Sales and Services of Educational Activities	12,507,083.04	10,541,855.12	1,965,227.92	18.6%
Net Sales and Services of Hospitals	25,779,686.54	20,604,083.45	5,175,603.09	25.1%
Net Professional Fees	111,645,942.82	95,711,317.45	15,934,625.37	16.6%
Net Auxiliary Enterprises	9,300,969.91	8,976,653.08	324,316.83	3.6%
Other Operating Revenues	4,157,975.29	4,823,732.71	(665,757.42)	-13.8%
Total Operating Revenues	416,791,536.10	351,890,112.45	64,901,423.65	18.4%
Operating Expenses				
Salaries and Wages	275,303,857.18	248,832,461.90	26,471,395.28	10.6%
Payroll Related Costs	58,955,235.74	50,618,039.84	8,337,195.90	16.5%
Cost of Goods Sold	8,469,200.96	5,178,311.24	3,290,889.72	63.6%
Professional Fees and Services	24,025,469.45	17,645,727.59	6,379,741.86	36.2%
Other Contracted Services	25,403,395.76	25,522,472.57	(119,076.81)	-0.5%
Travel	3,537,262.33	3,415,822.44	121,439.89	3.6%
Materials and Supplies	19,009,533.46	17,525,027.56	1,484,505.90	8.5%
Utilities	5,773,480.29	5,828,453.79	(54,973.50)	-0.9%
Communications	1,861,923.02	1,719,995.65	141,927.37	8.3%
Repairs and Maintenance	5,046,911.72	3,606,465.20	1,440,446.52	39.9%
Rentals and Leases	11,516,086.99	10,280,779.17	1,235,307.82	12.0%
Printing and Reproduction	2,010,184.29	1,821,655.14	188,529.15	10.3%
Scholarships and Fellowships	2,217,951.90	2,519,504.10	(301,552.20)	-12.0%
Depreciation and Amortization	20,490,496.14	19,827,010.71	663,485.43	3.3%
Federal Sponsored Program Pass-Through to Other State Agencies	2,024,206.42	2,377,473.16	(353,266.74)	-14.9%
Other Operating Expenses	13,564,942.23	13,207,487.34	357,454.89	2.7%
Total Operating Expenses	479,210,137.88	429,926,687.40	49,283,450.48	11.5%
Operating Loss	(62,418,601.78)	(78,036,574.95)	15,617,973.17	20.0%
Other Nonoperating Adjustments				
State Appropriations	68,282,357.96	66,600,655.14	1,681,702.82	2.5%
Nonexchange Sponsored Programs	66,593.00	96,601.29	(30,008.29)	-31.1%
Gift Contributions for Operations	7,310,072.87	10,338,842.34	(3,028,769.47)	-29.3%
Net Investment Income	10,839,266.53	10,404,313.28	434,953.25	4.2%
Interest Expense on Capital Asset Financings	(3,629,811.24)	(3,876,909.68)	247,098.44	6.4%
Net Other Nonoperating Adjustments	82,868,479.12	83,563,502.37	(695,023.25)	-0.8%
Adjusted Income (Loss) including Depreciation & Amortization	20,449,877.34	5,526,927.42	14,922,949.92	270.0%
Adjusted Margin % including Depreciation & Amortization	4.1%	1.3%		
Investment Gain (Losses)	(18,200,989.88)	(15,716,338.41)	(2,484,651.47)	-15.8%
Adj. Inc. (Loss) with Investment Gains (Losses)	2,248,887.46	(10,189,410.99)	12,438,298.45	122.1%
Adj. Margin % with Investment Gains (Losses)	0.5%	-2.4%		
Adjusted Income (Loss) excluding Depreciation & Amortization	40,940,373.48	25,353,938.13	15,586,435.35	61.5%
Adjusted Margin % excluding Depreciation & Amortization	8.1%	5.8%		

UNAUDITED

The University of Texas Health Science Center at San Antonio
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	12,838,925.67	11,934,822.33	904,103.34	7.6%
Sponsored Programs	100,379,347.55	101,690,237.26	(1,310,889.71)	-1.3%
Net Sales and Services of Educational Activities	8,427,358.68	8,312,892.16	114,466.52	1.4%
Net Professional Fees	62,462,310.49	56,698,371.52	5,763,938.97	10.2%
Net Auxiliary Enterprises	1,762,107.17	1,930,357.43	(168,250.26)	-8.7%
Other Operating Revenues	4,197,728.18	5,907,006.84	(1,709,278.66)	-28.9%
Total Operating Revenues	190,067,777.74	186,473,687.54	3,594,090.20	1.9%
Operating Expenses				
Salaries and Wages	139,997,432.55	140,860,628.24	(863,195.69)	-0.6%
Payroll Related Costs	36,741,297.00	34,886,355.04	1,854,941.96	5.3%
Professional Fees and Services	7,236,672.78	4,982,431.06	2,254,241.72	45.2%
Other Contracted Services	6,200,080.87	5,301,361.46	898,719.41	17.0%
Travel	1,495,604.83	1,616,436.99	(120,832.16)	-7.5%
Materials and Supplies	14,117,609.13	12,611,827.78	1,505,781.35	11.9%
Utilities	6,198,856.00	5,833,333.33	365,522.67	6.3%
Communications	3,262,233.97	4,625,522.87	(1,363,288.90)	-29.5%
Repairs and Maintenance	1,830,612.29	2,085,114.04	(254,501.75)	-12.2%
Rentals and Leases	1,934,826.59	1,800,392.54	134,434.05	7.5%
Printing and Reproduction	545,347.71	554,715.39	(9,367.68)	-1.7%
Scholarships and Fellowships	2,545,705.17	2,971,039.65	(425,334.48)	-14.3%
Depreciation and Amortization	17,666,666.67	17,500,000.00	166,666.67	1.0%
Federal Sponsored Program Pass-Through to Other State Agencies	516,666.67	500,000.00	16,666.67	3.3%
Other Operating Expenses	12,193,445.09	12,896,850.71	(703,405.62)	-5.5%
Total Operating Expenses	252,483,057.32	249,026,009.10	3,457,048.22	1.4%
Operating Loss	(62,415,279.58)	(62,552,321.56)	137,041.98	0.2%
Other Nonoperating Adjustments				
State Appropriations	56,206,379.33	58,745,015.67	(2,538,636.34)	-4.3%
Nonexchange Sponsored Programs	433,333.33	416,666.67	16,666.66	4.0%
Gift Contributions for Operations	9,595,327.61	9,590,415.78	4,911.83	0.1%
Net Investment Income	12,527,591.63	12,332,114.67	195,476.96	1.6%
Interest Expense on Capital Asset Financings	(2,737,624.28)	(2,934,222.52)	196,598.24	6.7%
Net Other Nonoperating Adjustments	76,025,007.62	78,149,990.27	(2,124,982.65)	-2.7%
Adjusted Income (Loss) including Depreciation & Amortization	13,609,728.04	15,597,668.71	(1,987,940.67)	-12.7%
Adjusted Margin % including Depreciation & Amortization	5.1%	5.8%		
Investment Gain (Losses)	(23,215,099.41)	(20,558,396.41)	(2,656,703.00)	-12.9%
Adj. Inc. (Loss) with Investment Gains (Losses)	(9,605,371.37)	(4,960,727.70)	(4,644,643.67)	-93.6%
Adj. Margin % with Investment Gains (Losses)	-3.9%	-2.0%		
Adjusted Income (Loss) excluding Depreciation & Amortization	31,276,394.71	33,097,668.71	(1,821,274.00)	-5.5%
Adjusted Margin % excluding Depreciation & Amortization	11.6%	12.4%		

UNAUDITED

The University of Texas M. D. Anderson Cancer Center
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	536,673.68	1,012,882.98	(476,209.30)	-47.0%
Sponsored Programs	96,795,264.11	89,791,330.15	7,003,933.96	7.8%
Net Sales and Services of Educational Activities	907,279.55	773,687.21	133,592.34	17.3%
Net Sales and Services of Hospitals	1,108,916,721.32	1,025,901,043.18	83,015,678.14	8.1%
Net Professional Fees	138,249,731.53	133,421,731.28	4,828,000.25	3.6%
Net Auxiliary Enterprises	14,012,694.35	14,600,084.15	(587,389.80)	-4.0%
Other Operating Revenues	29,341,421.97	31,520,134.18	(2,178,712.21)	-6.9%
Total Operating Revenues	1,388,759,786.51	1,297,020,893.13	91,738,893.38	7.1%
Operating Expenses				
Salaries and Wages	613,818,280.22	580,959,849.68	32,858,430.54	5.7%
Payroll Related Costs	175,912,288.19	163,645,142.64	12,267,145.55	7.5%
Cost of Goods Sold	965,947.39	2,187,334.53	(1,221,387.14)	-55.8%
Professional Fees and Services	63,756,128.85	56,220,759.03	7,535,369.82	13.4%
Other Contracted Services	44,097,656.45	34,725,203.02	9,372,453.43	27.0%
Travel	11,051,425.41	7,071,444.91	3,979,980.50	56.3%
Materials and Supplies	276,128,981.20	249,735,233.25	26,393,747.95	10.6%
Utilities	15,218,845.63	14,903,548.93	315,296.70	2.1%
Communications	3,366,496.80	3,136,257.73	230,239.07	7.3%
Repairs and Maintenance	31,488,312.16	35,464,239.21	(3,975,927.05)	-11.2%
Rentals and Leases	14,711,338.16	14,715,678.13	(4,339.97)	-
Printing and Reproduction	1,594,122.47	1,319,574.76	274,547.71	20.8%
Scholarships and Fellowships	1,911,410.88	1,856,504.00	54,906.88	3.0%
Depreciation and Amortization	113,842,154.11	99,747,976.55	14,094,177.56	14.1%
Federal Sponsored Program Pass-Through to Other State Agencies	101,455.63	(1,451,161.38)	1,552,617.01	107.0%
State Sponsored Program Pass-Through to Other State Agencies	178,213.22	248,053.77	(69,840.55)	-28.2%
Other Operating Expenses	11,298,736.16	10,698,594.48	600,141.68	5.6%
Total Operating Expenses	1,379,441,792.93	1,275,184,233.24	104,257,559.69	8.2%
Operating Loss	9,317,993.58	21,836,659.89	(12,518,666.31)	-57.3%
Other Nonoperating Adjustments				
State Appropriations	67,334,312.96	62,456,936.51	4,877,376.45	7.8%
Nonexchange Sponsored Programs	1,495,987.88	1,847,504.00	(351,516.12)	-19.0%
Gift Contributions for Operations	61,079,677.20	34,461,956.68	26,617,720.52	77.2%
Net Investment Income	36,176,660.81	25,127,805.00	11,048,855.81	44.0%
Interest Expense on Capital Asset Financings	(11,317,334.40)	(11,955,784.72)	638,450.32	5.3%
Net Other Nonoperating Adjustments	154,769,304.45	111,938,417.47	42,830,886.98	38.3%
Adjusted Income (Loss) including Depreciation & Amortization	164,087,298.03	133,775,077.36	30,312,220.67	22.7%
Adjusted Margin % including Depreciation & Amortization	10.6%	9.4%		
Investment Gain (Losses)	(1,492,578.33)	(41,434,009.50)	39,941,431.17	96.4%
Adj. Inc. (Loss) with Investment Gains (Losses)	162,594,719.70	92,341,067.86	70,253,651.84	76.1%
Adj. Margin % with Investment Gains (Losses)	10.5%	6.7%		
Adjusted Income (Loss) excluding Depreciation & Amortization	277,929,452.14	233,523,053.91	44,406,398.23	19.0%
Adjusted Margin % excluding Depreciation & Amortization	17.9%	16.4%		

UNAUDITED

The University of Texas Health Science Center at Tyler
 Monthly Financial Report, Comparison of Operating Results and Margin
 For the Period Ending December 31, 2015

	December Year-to-Date FY 2016	December Year-to-Date FY 2015	Variance	Fluctuation Percentage
Operating Revenues				
Net Student Tuition and Fees	44,803.22	43,210.80	1,592.42	3.7%
Sponsored Programs	8,272,766.67	5,158,690.01	3,114,076.66	60.4%
Net Sales and Services of Educational Activities	661,652.59	505,141.95	156,510.64	31.0%
Net Sales and Services of Hospitals	17,808,923.82	19,189,695.12	(1,380,771.30)	-7.2%
Net Professional Fees	4,730,361.06	4,971,325.60	(240,964.54)	-4.8%
Net Auxiliary Enterprises	88,427.58	79,132.94	9,294.64	11.7%
Other Operating Revenues	5,018,219.63	13,200,242.81	(8,182,023.18)	-62.0%
Total Operating Revenues	36,625,154.57	43,147,439.23	(6,522,284.66)	-15.1%
Operating Expenses				
Salaries and Wages	31,201,234.66	26,140,373.93	5,060,860.73	19.4%
Payroll Related Costs	8,800,256.16	7,501,836.89	1,298,419.27	17.3%
Cost of Goods Sold	59,566.26	37,377.51	22,188.75	59.4%
Professional Fees and Services	3,168,904.77	3,006,836.81	162,067.96	5.4%
Other Contracted Services	3,695,688.34	3,322,239.98	373,448.36	11.2%
Travel	223,850.74	211,957.55	11,893.19	5.6%
Materials and Supplies	7,595,368.07	7,047,635.79	547,732.28	7.8%
Utilities	613,823.00	820,898.00	(207,075.00)	-25.2%
Communications	391,974.03	301,912.27	90,061.76	29.8%
Repairs and Maintenance	1,709,147.72	1,738,595.65	(29,447.93)	-1.7%
Rentals and Leases	356,499.22	395,335.98	(38,836.76)	-9.8%
Printing and Reproduction	18,769.66	23,668.44	(4,898.78)	-20.7%
Scholarships and Fellowships	44,888.22	5,987.50	38,900.72	649.7%
Depreciation and Amortization	3,608,470.42	3,671,726.68	(63,256.26)	-1.7%
Federal Sponsored Program Pass-Through to Other State Agencies	77,680.44	59,034.84	18,645.60	31.6%
Other Operating Expenses	1,271,988.32	939,970.09	332,018.23	35.3%
Total Operating Expenses	62,838,110.03	55,225,387.91	7,612,722.12	13.8%
Operating Loss	(26,212,955.46)	(12,077,948.68)	(14,135,006.78)	-117.0%
Other Nonoperating Adjustments				
State Appropriations	17,945,759.33	14,488,227.12	3,457,532.21	23.9%
Gift Contributions for Operations	203,203.62	91,913.92	111,289.70	121.1%
Net Investment Income	1,389,962.80	1,478,195.19	(88,232.39)	-6.0%
Interest Expense on Capital Asset Financings	(441,231.24)	(480,481.24)	39,250.00	8.2%
Net Other Nonoperating Adjustments	19,097,694.51	15,577,854.99	3,519,839.52	22.6%
Adjusted Income (Loss) including Depreciation & Amortization	(7,115,260.95)	3,499,906.31	(10,615,167.26)	-303.3%
Adjusted Margin % including Depreciation & Amortization	-12.7%	5.9%		
Investment Gain (Losses)	(1,751,553.94)	(1,596,027.41)	(155,526.53)	-9.7%
Adj. Inc. (Loss) with Investment Gains (Losses)	(8,866,814.89)	1,903,878.90	(10,770,693.79)	-565.7%
Adj. Margin % with Investment Gains (Losses)	-16.3%	3.3%		
Adjusted Income (Loss) excluding Depreciation & Amortization	(3,506,790.53)	7,171,632.99	(10,678,423.52)	-148.9%
Adjusted Margin % excluding Depreciation & Amortization	-6.2%	12.1%		

3. U. T. System: Report on the Analysis of Financial Condition for Fiscal Year 2015

INTRODUCTION

Financial analysis is performed from each institution's Balance Sheet and the Statement of Revenues, Expenses, and Changes in Net Assets. The ratios presented in this report are ratios commonly used by bond rating agencies, public accounting firms, and consulting firms. The following ratios were analyzed: Composite Financial Index, Operating Expense Coverage, Annual Operating Margin, Expendable Resources to Debt, Debt Burden, Debt Service Coverage, and Full-Time Equivalent (FTE) Student Enrollment (academic institutions only).

The Analysis of Financial Condition has been prepared since 1995 to track financial ratios to determine if the financial condition of the institutions is improving or declining. This analysis compares trends for Fiscal Year 2011 through Fiscal Year 2015.

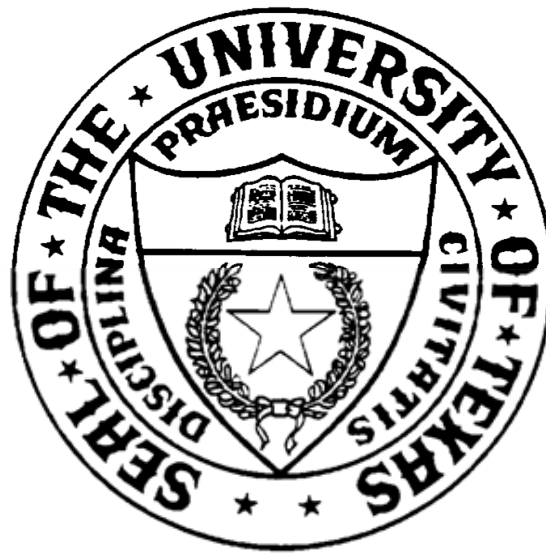
REPORT

The 2015 Analysis of Financial Condition, which is set forth on the following pages, is a broad annual financial evaluation that rates U. T. System institutions based on factors analyzed as either "Satisfactory," "Watch," or "Unsatisfactory."

An Executive Summary of the report may be found on [Pages 160 - 161](#). U. T. Permian Basin's rating was downgraded from "Satisfactory" to "Watch" as a result of a decline in the financial condition in Fiscal Year 2015, as well as the institution's failure to meet the thresholds established as part of the incentive measures for Fiscal Year 2015. U. T. Brownsville and U. T. Pan American were not rated due to the transition to U. T. Rio Grande Valley on September 1, 2015. With the exception of U. T. Permian Basin, all of the other U. T. System institution's ratings were "Satisfactory" for Fiscal Year 2015.

2015 Analysis of Financial Condition

February 2016



The University of Texas System 2015 Analysis of Financial Condition

Executive Summary

The Analysis of Financial Condition (AFC) was performed from the Statement of Net Position and the Statement of Revenues, Expenses, and Changes in Net Position. Since debt is reported at the System level and not on the individual institution's books, debt was allocated to the appropriate institution, as provided by the Office of Finance.

The ratios presented in this report are ratios commonly used by bond rating agencies, public accounting firms, and consulting firms. In addition to using individual ratios, a Composite Financial Index (CFI) is calculated using four commonly used ratios to form a composite score to help analyze the overall financial health of each institution. Use of a single score allows a weakness in a particular ratio to be offset by strength in another ratio. The four core ratios that make up the CFI are as follows:

- *Primary Reserve Ratio* – measures the financial strength of the institution by comparing expendable net position to total expenses (in days). This ratio provides a snapshot of financial strength and flexibility by indicating how long the institution could function by using its expendable reserves without relying on additional net position generated by operations.
- *Annual Operating Margin Ratio* – indicates whether the institution has balanced annual operating expenses with revenues. Depreciation expense is included, as it is believed that inclusion of depreciation reflects a more complete picture of operating performance since it reflects use of physical assets.
- *Return on Net Position Ratio* – determines whether the institution is financially better off than in previous years by measuring economic return. As mentioned above, the debt reported at the system level was allocated to each institution in the calculation of this ratio. A temporary decline in this ratio may be appropriate and even warranted if it reflects a strategy to better fulfill the institution's mission. On the other hand, an improving trend in this ratio indicates that the institution is increasing its net position and is likely to be able to set aside financial resources to strengthen its future financial flexibility.
- *Expendable Resources to Debt Ratio* – determines if an institution has the ability to fund outstanding debt with existing net position balances should an emergency occur.

In addition to the CFI that includes the four core ratios mentioned above, the following ratios are presented:

- *Operating Expense Coverage Ratio* – measures an institution's ability to cover future operating expenses with available year-end balances (in months).
- *Debt Burden Ratio* – examines the institution's dependence on borrowed funds as a source of financing and the cost of borrowing relative to overall expenses.
- *Debt Service Coverage Ratio* – measures the actual margin of protection provided to investors by annual operations. *Moody's Investors Service* excludes actual investment income from its calculation of total operating revenue and instead, uses a normalized investment income. Moody's applies 5% of the average of the previous three years' market value of cash and investments to compute normalized investment income. This calculation is used by the Office of Finance, and in order to be consistent with their calculation of the debt service coverage ratio, normalized investment income is used as defined above for this ratio only.
- *Full-time Equivalent (FTE) Student Enrollment* – calculates total semester credit hours taken by students during the fall semester, divided by factors of 15 for undergraduate students, 12 for graduate and special professional students, and 9 for doctoral students to arrive at the FTE students represented by the course hours taken.

All of these ratios, including the CFI, only deal with the financial aspects of the institution and must be considered with key performance indicators in academics, infrastructure, and student and faculty satisfaction to understand a more complete measure of total institutional strength.

This report is meant to be a broad annual financial evaluation that rates the institutions as either “Satisfactory,” “Watch,” or “Unsatisfactory” based upon the factors analyzed. (See Appendix A – Definitions of Evaluation Factors). For institutions rated “Unsatisfactory,” the Chancellor and the appropriate Executive Vice Chancellors will request the institutions to develop a specific financial plan of action to improve the institution’s financial condition. By policy, institutions rated “Unsatisfactory” are not permitted to invest in the Intermediate Term Fund. Progress towards the achievement of the plans will be periodically discussed with the Chief Business Officer and President, and representatives from the System Offices of Business, Academic and/or Health Affairs, as appropriate.

U. T. Permian Basin’s rating was downgraded from “Satisfactory” to “Watch” as a result of a decline in the financial condition in 2015, as well as U. T. Permian Basin’s failure to meet the thresholds established as part of the incentive measures for 2015. U. T. Permian Basin’s CFI decreased from 2.3 in 2014 to 0.4 in 2015, which was well below the threshold of 2.5. The operating expense coverage ratio decreased by 1.9 months to 0.5 months in 2015, which was below the System’s benchmark and the threshold of 2.0 months. In addition, the annual operating deficit grew to (\$6.1) million or (7.6%) as compared to the threshold of (0.8%).

Although UTMB’s composite financial index (CFI), operating expense coverage ratio and annual operating margin ratio all decreased in 2015, these declines did not warrant downgrading UTMB at this time. However, if this downward trend continues into the future, then the rating may be reassessed.

While UTHSC-Tyler’s rating remained “Satisfactory,” there is still concern over UTHSC-Tyler’s core operations. While UTHSC-Tyler’s annual operating margin remained positive in 2015, it is important to note the sizeable impact net Delivery System Reform Incentive Payments (DSRIP) revenue had on UTHSC-Tyler’s operating results. If the net DSRIP revenue had not been recognized in 2015, UTHSC-Tyler’s annual operating deficit would have been (\$16.4) million or (11.3%). UTHSC-Tyler is working diligently to improve the margin from core operations by the time DSRIP is expected expire in fiscal year 2017.

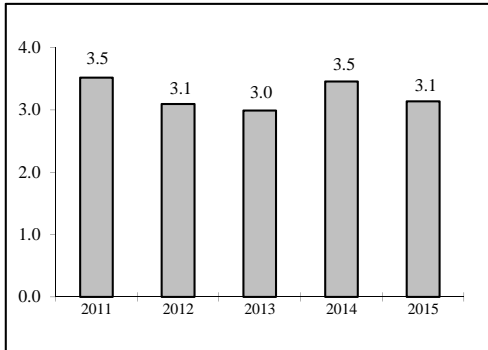
U. T. Brownsville and U. T. Pan American were not rated due to the transition to U. T. Rio Grande Valley in 2016. U. T. Rio Grande Valley was operational September 1, 2015. U. T. Rio Grande Valley is an accounting merger that will occur in fiscal year 2016 combining student enrollment from U. T. Brownsville and U. T. Pan American as well as new medical school students. U. T. Rio Grande Valley enrolled its first academic class in the fall of 2015 and is expected to enroll its first medical student class in the fall of 2016. In accordance with the statute creating U. T. Rio Grande Valley, U. T. Pan American was abolished by the System’s Board of Regents effective September 1, 2015. U. T. Brownsville remains operational as an institution with minimal administrative staff for the purpose of maintaining the accreditation of Texas Southmost College, a community college with which it had a contractual partnership. U. T. Brownsville will be abolished by the System’s Board of Regents on a future date when Texas Southmost College achieves independent accreditation, which is expected in 2016.

With the exception of U. T. Permian Basin, all of the other U. T. institutions’ ratings were “Satisfactory” for 2015. The CFIs for all of the U. T. institutions decreased in 2015 primarily as a result of one of the following factors: a decrease in the fair value of investments, a decrease in the operating margin, and a decrease in the amount of bond proceeds transferred to the institution. The majority of the institutions also experienced a decline in the operating expense coverage ratio due to a decrease in unrestricted net position largely as a result of a decrease in the fair value of investments or the growth of total operating expenses. The operating expense coverage ratios for the institutions rated “Satisfactory” were above the System’s benchmark of 2.0 months with the exception of UTMB and U. T. El Paso, which were just slightly below the benchmark.

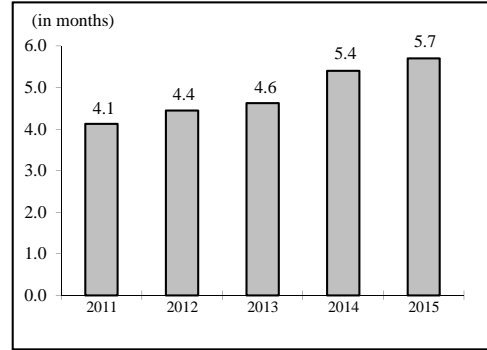
**The University of Texas at Arlington
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

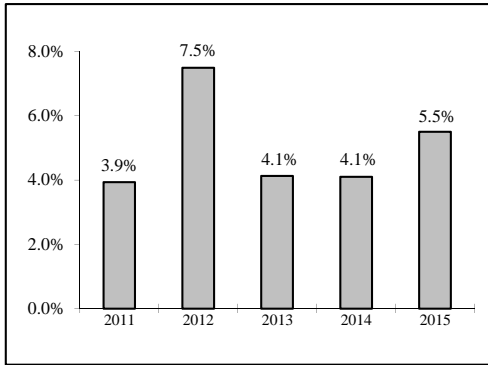
Composite Financial Index



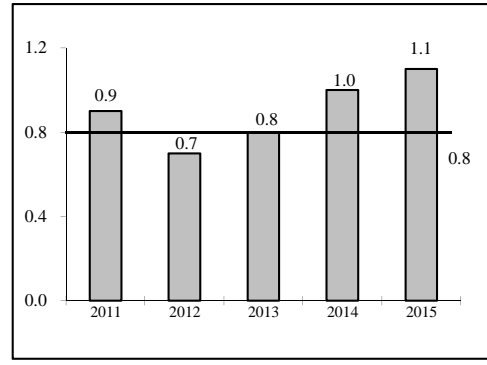
Operating Expense Coverage Ratio



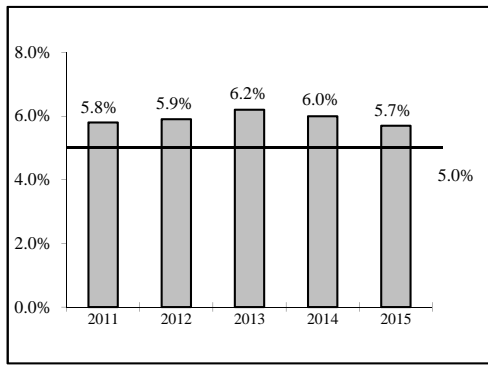
Annual Operating Margin Ratio



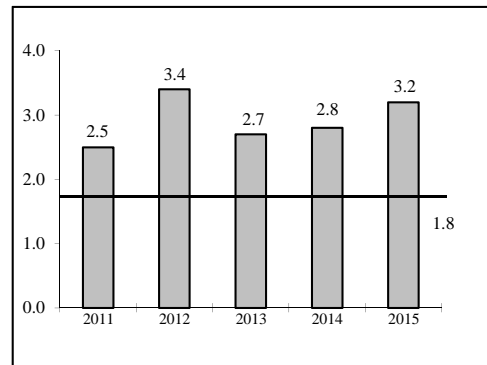
Expendable Resources to Debt Ratio



Debt Burden Ratio

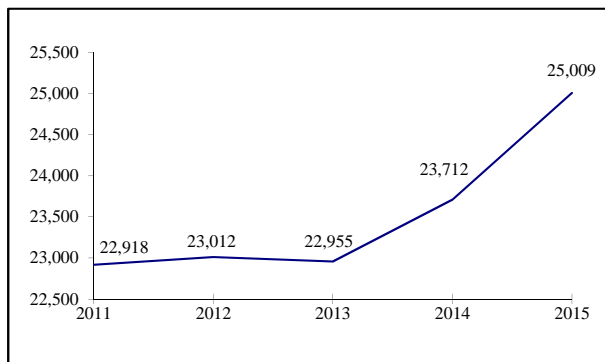


Debt Service Coverage Ratio



**The University of Texas at Arlington
2015 Summary of Financial Condition**

**Full-time Equivalent
Student Enrollment - Fall**



Composite Financial Index (CFI) - U. T. Arlington's CFI decreased from 3.5 in 2014 to 3.1 in 2015 primarily as a result of a decrease in the return on net position ratio. The decrease in the return on net position ratio was largely driven by a net decrease in the fair value of investments of (\$22.0) million in 2015 as compared to a net increase of \$25.6 million in 2014 for a net change between years of (\$47.6) million.

Operating Expense Coverage Ratio - U. T. Arlington's operating expense coverage ratio increased from 5.4 months in 2014 to 5.7 months in 2015 due to the growth in total unrestricted net position of \$21.8 million. The increase in total unrestricted net position was primarily attributable to operating activity in designated funds and an increase in the amount of unrestricted funding for capital projects in unexpended plant funds.

Annual Operating Margin Ratio - U. T. Arlington's annual operating margin ratio increased from 4.1% for 2014 to 5.5% for 2015 as the growth in total operating revenues of \$26.0 million outpaced the growth in total operating expenses (including interest expense) of \$17.1 million. The increase in total operating revenues was largely due to the following: a \$17.4 million increase in net tuition and fees attributable to increased enrollment; a \$4.8 million increase in sponsored programs revenue (including nonexchange sponsored programs and including the adjustment in the prior year for the portion of Texas Research Incentive Program funding received in 2013 but not included until 2014) as a result of a \$1.0 million increase in Pell Grants and a \$2.5 million increase in Texas Manufacturing Assistance Center revenue; a \$2.7 million increase in state appropriations; a \$2.2 million increase in auxiliary enterprises revenue generated by the College Park District, as well as increases in housing rental rates and parking fees; and a \$1.8 million increase in other operating revenues mostly due to an increase in program income in restricted funds. The increase in total operating expenses was primarily attributable to the following: a \$14.3 million increase in salaries and wages and payroll related costs resulting from merit increases to attract and retain talented faculty and staff; a \$5.1 million increase in other contracted services primarily due to Academic Partnership Programs; and a \$1.9 million increase in professional fees and services as a result of temporary staff and training expenses related to the Texas Manufacturing Assistance Center and consultants for PeopleSoft. These increases in expenses were partially offset by decreases in the following: a \$2.8 million decrease in communications as a result of a \$2.1 million decrease in communication services expense for the Library, a \$0.2 million decrease in expenses for use of U. T. Austin's financial system, a \$0.1 million decrease in expenses for the Police Department's communication system and a \$0.2 million decrease in expenses for the Blackboard Web Conference and Instant Messaging system; and a \$2.1 million decrease in repairs and maintenance caused by a decrease of \$0.8 million in deferred maintenance, a decrease of \$0.8 million in expenses for the Shimadzu Recharge Center, and a decrease of \$0.3 million in software repairs and maintenance.

Expendable Resources to Debt Ratio - U. T. Arlington's expendable resources to debt ratio increased from 1.0 in 2014 to 1.1 in 2015. The increase in this ratio was attributable to growth in total unrestricted net position of \$21.8 million combined with a decrease of \$17.1 million in the amount of debt outstanding.

Debt Burden Ratio - U. T. Arlington's debt burden ratio decreased from 6.0% in 2014 to 5.7% in 2015 as a result of the increase in total operating expenses as previously mentioned.

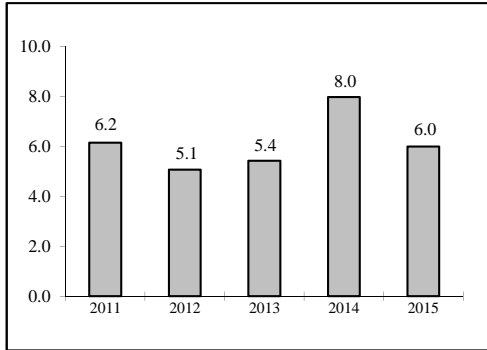
Debt Service Coverage Ratio - U. T. Arlington's debt service coverage ratio increased from 2.8 in 2014 to 3.2 in 2015. The increase in this ratio was generated by increase in operating performance as discussed in the annual operating margin ratio.

Full-Time Equivalent (FTE) Student Enrollment - U. T. Arlington's FTE student enrollment increased due to an overall increase in student enrollment.

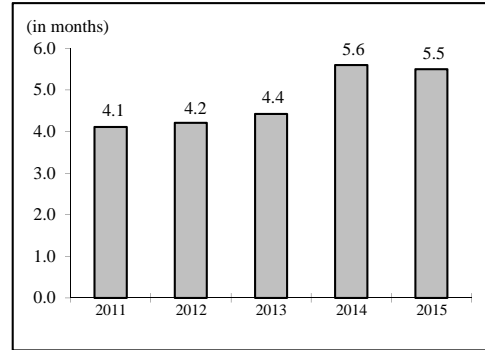
**The University of Texas at Austin
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

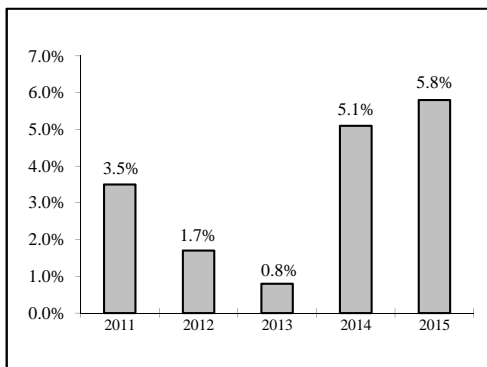
Composite Financial Index



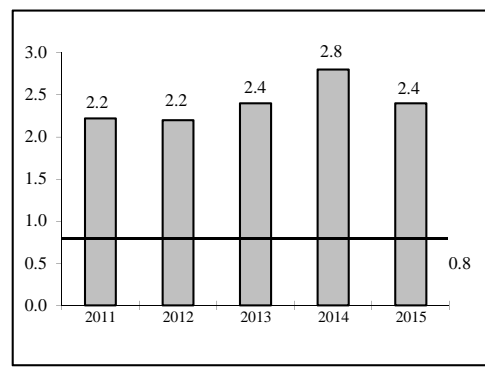
Operating Expense Coverage Ratio



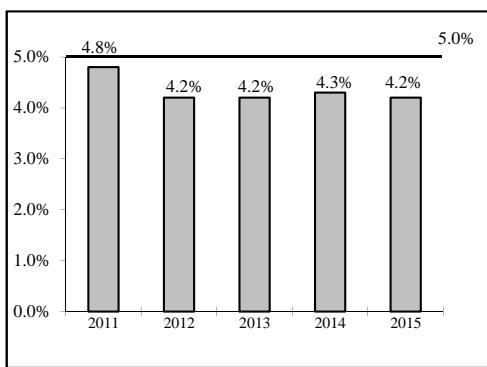
Annual Operating Margin Ratio



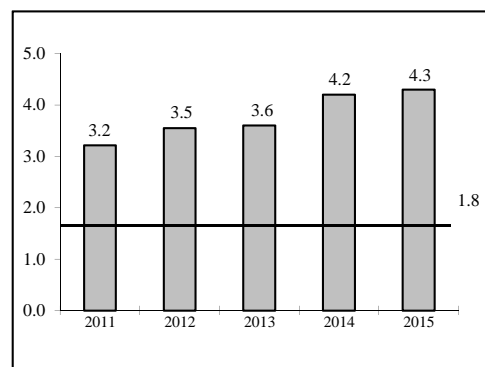
Expendable Resources to Debt Ratio



Debt Burden Ratio

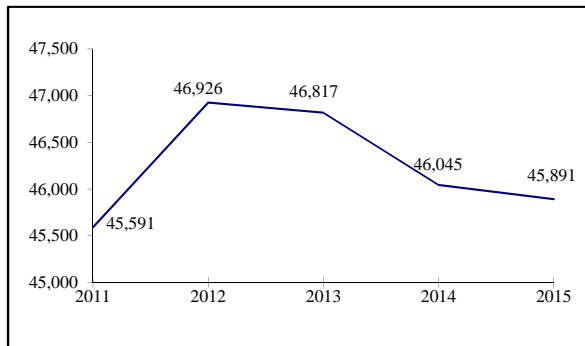


Debt Service Coverage Ratio



**The University of Texas at Austin
2015 Summary of Financial Condition**

**Full-time Equivalent
Student Enrollment - Fall**



Composite Financial Index (CFI) - U. T. Austin's CFI decreased from 8.0 in 2014 to 6.0 in 2015 due to decreases in the return on net position, expendable resources to debt, and primary reserve ratios. The decrease in the return on net position ratio was primarily attributable to the following: the net decrease in the fair value of investments of (\$211.2) million in 2015 as compared to a net increase of \$265.4 million in 2014 for a net change between years of (\$476.6) million; and a decrease of \$308.7 million in gifts and sponsored programs for capital acquisitions primarily due to a \$212.0 million gift from MA Photo Acquisition, LLC in 2014 with no such comparable gift in 2015. The decrease in the primary reserve ratio was due to a decrease in total restricted expendable net position (excluding restricted expendable for capital projects) combined with an increase in total operating expenses, both of which are discussed below. The decrease in the expendable resources to debt ratio is also discussed below.

Operating Expense Coverage Ratio - U. T. Austin's operating expense coverage ratio decreased from 5.6 months in 2014 to 5.5 months in 2015 due to growth in total operating expenses (including interest expense) of \$49.5 million. The increase in total operating expenses was primarily attributable to the following: a \$34.8 million increase in salaries and wages and payroll related costs as a result of merit increases and the addition of Dell Medical School staff; an \$11.2 million increase in other contracted services related to the Administrative Systems Master Plan (ASMP) project; an \$8.9 million increase in other operating expenses largely due to an overall increase in research grants; and a \$6.6 million increase in repairs and maintenance generated by ASMP projects, room renovations at the AT&T Executive Education and Conference Center, an increase in Project Management and Construction Services projects that were expensed and not capitalized, and Information Technology Services multi-year charges. These expense increases were partially offset by a \$7.1 million decrease in interest expense.

Annual Operating Margin Ratio - U. T. Austin's annual operating margin ratio increased from 5.1% for 2014 to 5.8% for 2015 as the growth in total operating revenues of \$73.0 million exceeded the growth in total operating expenses of \$49.5 million, as discussed above. The increase in total operating revenues was primarily due to the following: a \$25.5 million increase in the transfer from the Available University Fund over the prior year; a \$17.0 million increase in net investment income (excluding realized gains/losses); a \$16.4 million increase in net auxiliary enterprises revenue largely attributable to activity in Athletics; a \$12.9 million increase in sponsored programs revenue generated by an overall increase in research grants and new funding provided by a number of school districts for programs related to the Texas Literacy Initiative; a \$9.8 million increase in net sales and services of educational activities primarily due to an increase in sales of online and electronic databases for Library Resource Sharing; and a \$3.6 million increase in state appropriations. These increases in revenues were partially offset by decreases in the following: a \$7.8 million decrease in net tuition and fees as a result of decreased student enrollment, as well as an increase in discounts and allowances attributable to increased student loans and scholarships; and a decrease of \$3.8 million in gifts for operations.

Expendable Resources to Debt Ratio - U. T. Austin's expendable resources to debt ratio decreased from 2.8 in 2014 to 2.4 in 2015. The decrease in this ratio was due to a decrease of \$130.8 million in total restricted expendable net position (excluding restricted expendable for capital projects) and an increase of \$120.8 million in the amount of debt outstanding. The decrease in total restricted expendable net position (excluding restricted expendable for capital projects) was primarily attributable to the net decrease in the fair value of investments in restricted funds and endowment funds. The increase in the amount of debt outstanding was related to the Dell Medical School, Rowling Hall, and the Engineering Education and Research Center.

Debt Burden Ratio - U. T. Austin's debt burden ratio decreased from 4.3% in 2014 to 4.2% in 2015 as a result of the increase in total operating expenses discussed above.

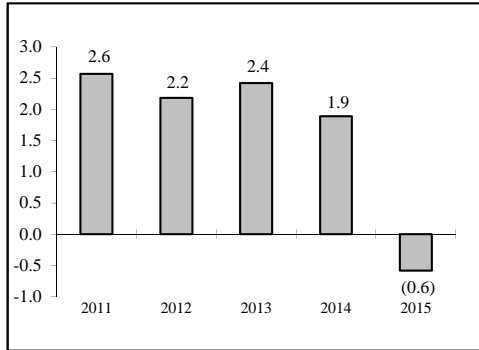
Debt Service Coverage Ratio - U. T. Austin's debt service coverage ratio increased from 4.2 in 2014 to 4.3 in 2015. The increase in this ratio was attributable to the improvement in operating performance as discussed in the annual operating margin ratio.

Full-Time Equivalent (FTE) Student Enrollment - U. T. Austin's FTE student enrollment decreased slightly in 2015 for the third year in a row as part of a continuing trend returning rates to normal following a large spike in 2012 which was attributed to an effort to improve admissions yield rate as part of the Enrollment Management and Graduation Rate initiatives. New undergraduate enrollment remained the same in 2015. The decrease is due to less transfer and graduate students.

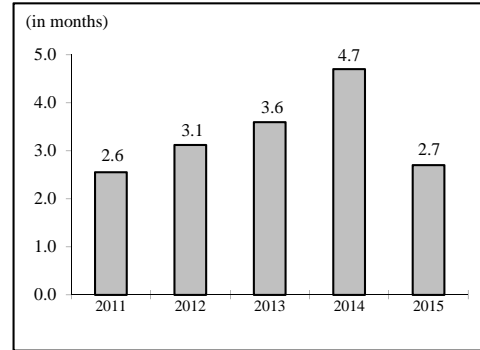
**The University of Texas at Brownsville
2015 Summary of Financial Condition**

Financial Condition: **Not Rated Due to Transition to U. T. Rio Grande Valley**

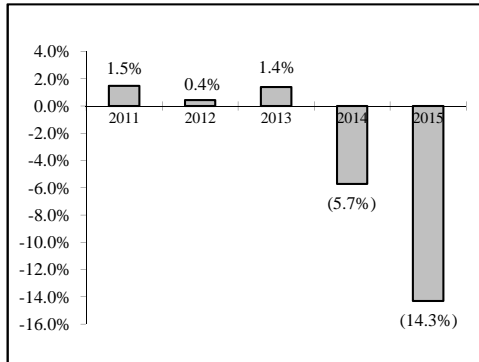
Composite Financial Index



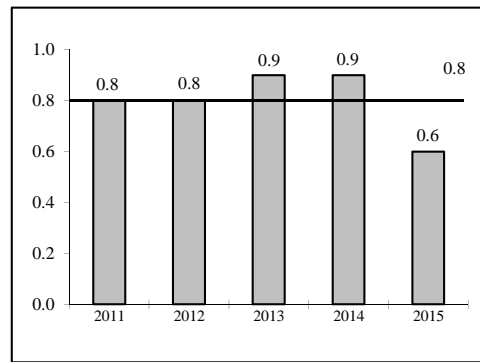
Operating Expense Coverage Ratio



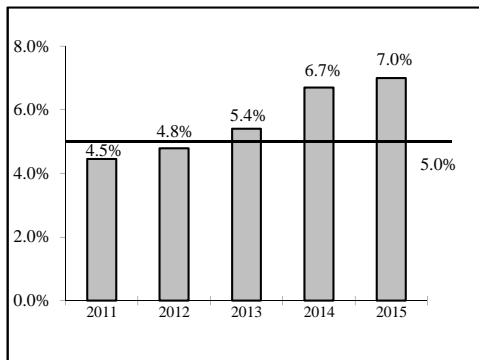
Annual Operating Margin Ratio



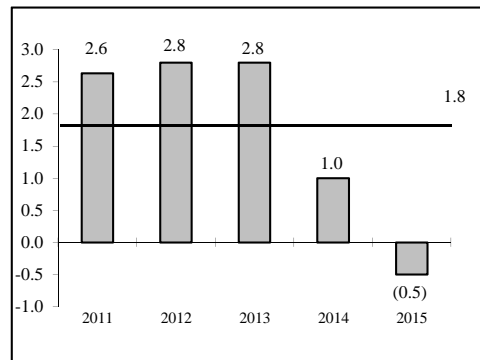
Expendable Resources to Debt Ratio



Debt Burden Ratio

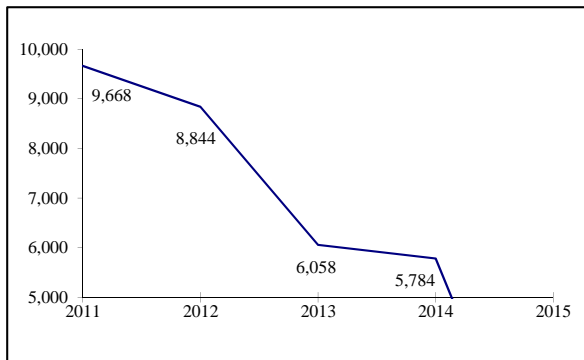


Debt Service Coverage Ratio



**The University of Texas at Brownsville
2015 Summary of Financial Condition**

**Full-time Equivalent
Student Enrollment - Fall**



Composite Financial Index (CFI) - U. T. Brownsville's CFI dropped from 1.9 in 2014 to (0.6) in 2015 as a result of decreases in all four core ratios. The decrease in the return on net position ratio was primarily driven by the following: a decline in operating performance; the net decrease in the fair value of investments of (\$3.2) million in 2015 as compared to a net increase of \$2.1 million in 2014 for a net change between years of (\$5.3) million; and the recording of anticipated Permanent University Fund (PUF) bond proceeds of \$50.5 million for U. T. Rio Grande Valley. Prior to the transition to U. T. Rio Grande Valley, U. T. Brownsville was not eligible for PUF funding as it received funding from the Higher Education Assistance Fund (HEAF), and therefore, U. T. Brownsville did not record PUF bonds anticipated proceeds until 2015. The decrease in the primary reserve ratio was a result of the decrease in total unrestricted net position, as discussed below. The decreases in the annual operating margin and the expendable resources to debt ratios are also discussed below.

Operating Expense Coverage Ratio - U. T. Brownsville's operating expense coverage ratio decreased from 4.7 months in 2014 to 2.7 months in 2015 due to a decrease of \$20.6 million in total unrestricted net position. The decline in total unrestricted net position was attributable to the following: the spending of the majority of HEAF balances; the absence of students in the fall due to the closing of U. T. Brownsville and the transition to U. T. Rio Grande Valley, which resulted in the receipt of no tuition and fee revenue; and a decline in operating performance as discussed below.

Annual Operating Margin Ratio - U. T. Brownsville's annual operating margin ratio declined from (5.7%) for 2014 to (14.3%) for 2015 as the reduction in total operating revenues of \$9.8 million exceeded the reduction in total operating expenses (including interest expense) of \$1.1 million. The decrease in total operating revenues was primarily due to a decrease of \$11.7 million in sponsored programs revenue (including nonexchange sponsored programs) largely as a result of several major Federal grants which ended in 2015 and the lack of August fall Pell Grant activity due to the closing of U. T. Brownsville and the transition to U. T. Rio Grande Valley. The decrease in total operating expenses was primarily due to the following: a \$4.8 million decrease in scholarships and fellowships attributable to the lack of August fall Pell Grant activity, as mentioned above; and a \$1.7 million decrease in professional fees and services resulting from expenses incurred in 2014 for the master planning of U. T. Brownsville. These decreases in expenses were partially offset by an increase in salaries and wages and payroll related costs of \$4.9 million generated by merit and market adjustments, as well as a change in the reporting of accrued compensation in 2015 as compared to 2014.

Expendable Resources to Debt Ratio - U. T. Brownsville's expendable resources to debt ratio decreased from 0.9 in 2014 to 0.6 in 2015. The decline in this ratio was due to the \$20.6 million decrease in total unrestricted net position, as previously discussed.

Debt Burden Ratio - U. T. Brownsville's debt burden ratio increased from 6.7% in 2014 to 7.0% in 2015 as a result of an increase in debt service payments of \$0.5 million combined with a decrease in scholarships and fellowships, which are excluded from total operating expenses for the calculation of this ratio.

Debt Service Coverage Ratio - U. T. Brownsville's debt service coverage ratio declined from 1.0 in 2014 to (0.5) in 2015. The decrease in this ratio was attributable to the reduction in operating performance as discussed in the annual operating margin ratio.

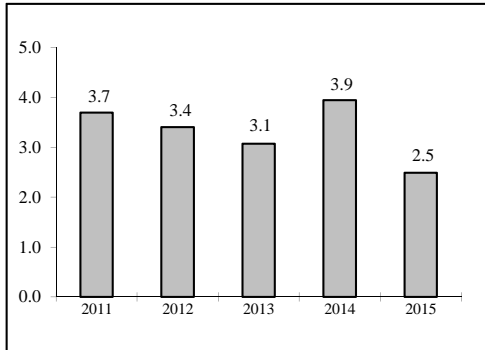
Full-Time Equivalent (FTE) Student Enrollment - U. T. Brownsville's FTE student enrollment was nonexistent as the students were transitioned to U. T. Rio Grande Valley for the fall of 2015.

U. T. Brownsville remains operational as an institution with minimal administrative staff for the purpose of maintaining the accreditation of Texas Southmost College, a community college with which it had a contractual partnership. U. T. Brownsville will be abolished by the U. T. System Board of Regents on a future date when Texas Southmost College achieves independent accreditation, which is expected in 2016. The vast majority of U. T. Brownsville will be incorporated into U. T. Rio Grande Valley for 2016 with the exception of the library, which must be maintained in U. T. Brownsville until Texas Southmost College attains accreditation. In addition, there were some HEAF balances which were not expended in 2015 that will be exhausted in 2016. Finally, there may be some state appropriation balance clean up that occurs in 2016.

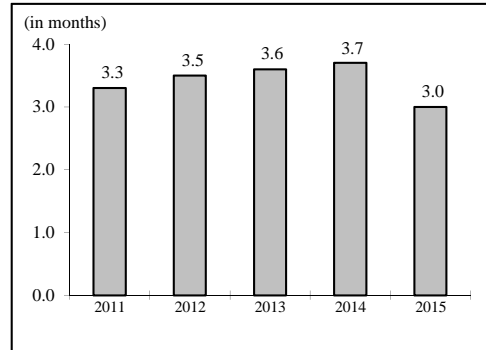
**The University of Texas at Dallas
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

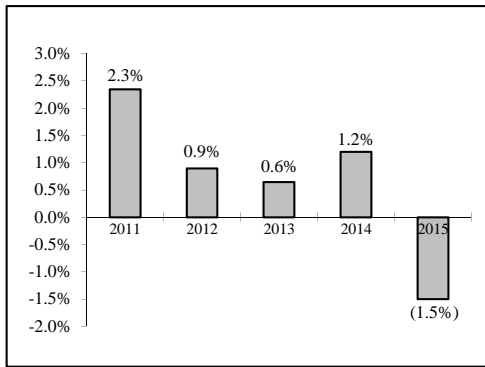
Composite Financial Index



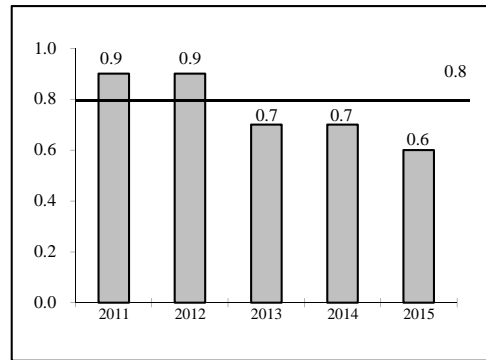
Operating Expense Coverage Ratio



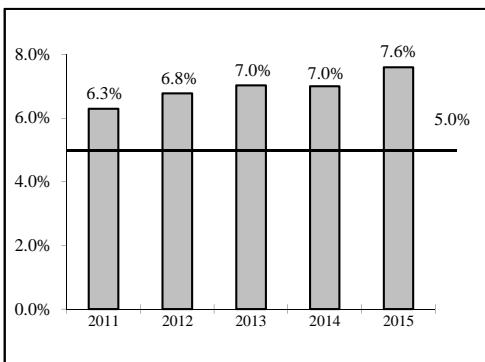
Annual Operating Margin Ratio



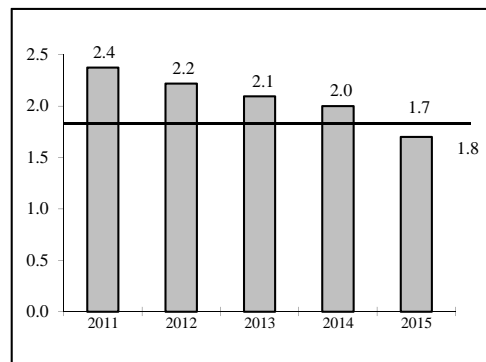
Expendable Resources to Debt Ratio



Debt Burden Ratio

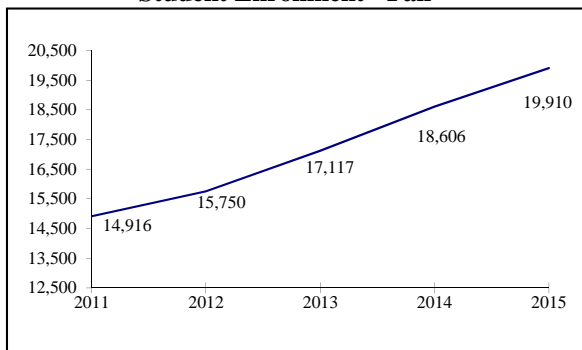


Debt Service Coverage Ratio



**The University of Texas at Dallas
2015 Summary of Financial Condition**

**Full-time Equivalent
Student Enrollment - Fall**



Composite Financial Index (CFI) - U. T. Dallas' CFI decreased from 3.9 in 2014 to 2.5 in 2015 as a result of decreases in the return on net position, primary reserve and annual operating margin ratios. The decrease in the return on net position ratio was primarily driven by the net decrease in the fair value of investments of (\$18.2) million in 2015 as compared to a net increase of \$28.6 million in 2014 for a net change between years of (\$46.8) million, and \$64.5 million less bond proceeds transferred to U. T. Dallas for capital projects primarily due to 2014 amounts for the Bioengineering and Science building. The decrease in the primary reserve ratio was a result of the decrease in total unrestricted net position, as discussed below. The decline in the annual operating margin ratio is also discussed below.

Operating Expense Coverage Ratio - U. T. Dallas' operating expense coverage ratio decreased from 3.7 months in 2014 to 3.0 months in 2015 due to both a decrease in total unrestricted net position of \$18.4 million and an increase in total operating expenses (including interest expense) of \$42.0 million. The decrease in total unrestricted net position was primarily attributable to a reduction in net investment income in designated funds combined with a net decrease in the fair value of investments allocated to designated funds. Total operating expenses increased largely due to the following: a \$29.0 million increase in salaries and wages and payroll related costs as a result of new faculty hires and merit increases; a \$6.3 million increase in other operating expenses attributable to increased student health insurance premiums and an increase in royalty payments; a \$2.8 million increase in depreciation and amortization expense due to the recognition of a full year of depreciation expense on the Jindal School of Management Phase II, the Student Housing Living/Learning Center Phase IV, and the Parking Structure Phase III which were placed into service in 2014; a \$2.3 million increase in materials and supplies generated by increases in books and reference materials, electronic access publications and computer software license renewals; a \$1.8 million increase in interest expense; a \$1.4 million increase in rentals and leases driven by rental expenses for Synergy Park North Center and the Academic Bridge Program; and a \$1.1 million increase in utilities as a result of increased usage due to the addition of the Student Housing Living/Learning Center Phase IV, the Dining and Recreation Center West, the Jindal School of Management Phase II and the Parking Structure Phase III.

Annual Operating Margin Ratio - U. T. Dallas' annual operating margin ratio decreased from 1.2% for 2014 to (1.5%) for 2015 as the growth in total operating expenses of \$42.0 million exceeded the growth in total operating revenues of \$27.5 million. The increase in total operating revenues was primarily attributable to the following: a \$43.0 million increase in net tuition and fees as a result of a 9.0% increase in student enrollment, an increase in non-resident tuition and an increase in health insurance premiums for students; a \$4.8 million increase in net auxiliary enterprises revenue driven by increased revenue from university housing and increased parking and traffic fee revenue; a \$2.9 million increase in other operating revenues attributable to an increase in lease income from royalty payments, an increase in B on-time revenue from the state; and a \$1.8 million increase in net sales and services of educational activities due to an increase in Engineering and Computer Science design services, K-12 classes and camp fees, Confucius Institute and English Language Services (ELS). These increases in revenue were partially offset by the following: a \$10.5 million decrease in sponsored programs revenue (including nonexchange sponsored programs and including the adjustment in the prior year for the portion of Texas Research Incentive Program (TRIP) funding received in 2013 but not included until 2014) largely due to the change in reporting of Pell Grants in 2014, and the adjustment made in 2014 for \$5.0 million of unspent TRIP funding that was received in 2013 with no such adjustment in 2015; an \$8.1 million decrease in net investment income (excluding realized gains/losses); and a \$5.6 million decrease in gifts for operations as a result of a \$5.0 million gift received from Communities Foundation of Texas in 2014 and the lack of a comparable gift in 2015.

Expendable Resources to Debt Ratio - U. T. Dallas' expendable resources to debt ratio decreased from 0.7 in 2014 to 0.6 in 2015. The decrease in this ratio was due to the decrease in total unrestricted net position of \$18.4 million, as discussed above, and a \$9.6 million increase in the amount of debt outstanding related to the Student Services Building, the Bioengineering and Sciences Building and the Parking Structure.

Debt Burden Ratio - U. T. Dallas' debt burden ratio increased from 7.0% in 2014 to 7.6% in 2015 as a result of a \$5.9 million increase in debt service payments.

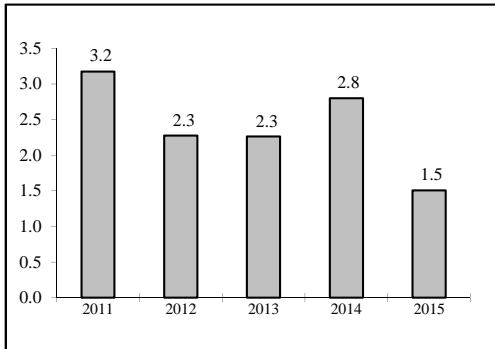
Debt Service Coverage Ratio - U. T. Dallas' debt service coverage ratio decreased from 2.0 in 2014 to 1.7 in 2015. The decrease in this ratio was attributable to the decline in operating performance combined with the increase in debt service payments.

Full-Time Equivalent (FTE) Student Enrollment - U. T. Dallas' FTE student enrollment increased by 7.0% from 2014 to 2015. The upward trend in FTE student enrollment relative to gross enrollment reflects the effects of the university's guaranteed tuition plan, which encourages full-time status, federal and state eligibility requirements for aid for domestic students and visa requirements for international students. In the fall of 2015, undergraduate FTE rose 8.1% over the fall of 2014 while the FTE for masters student enrollment increased by 3.0%.

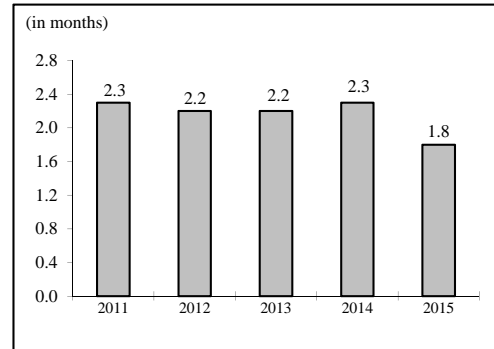
**The University of Texas at El Paso
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

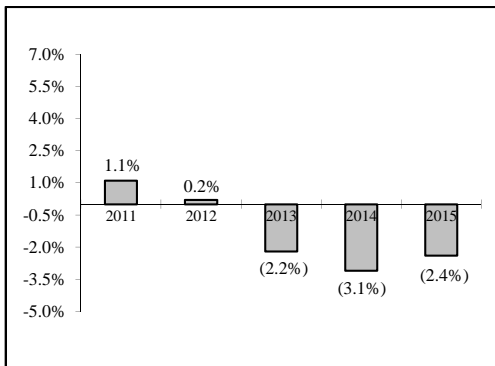
Composite Financial Index



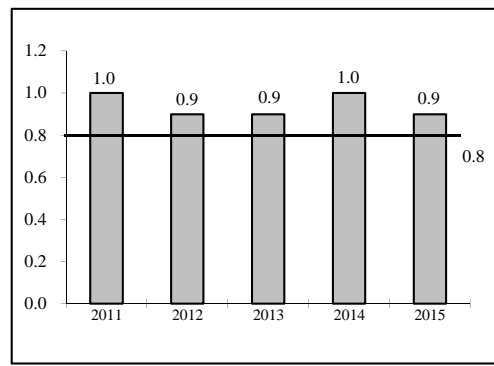
Operating Expense Coverage Ratio



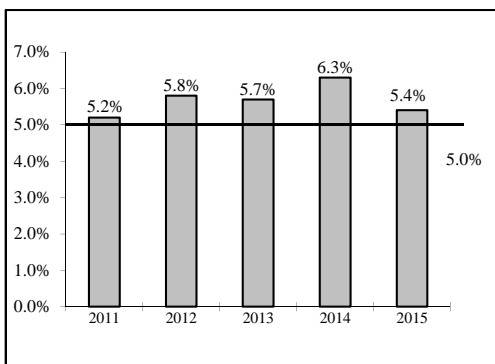
Annual Operating Margin Ratio



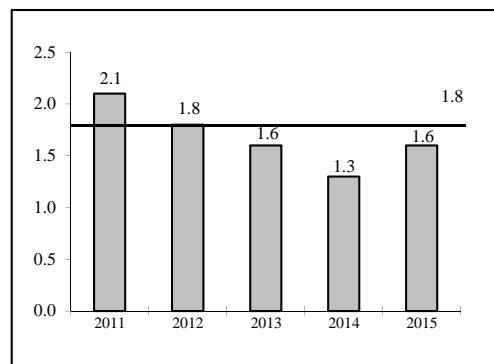
Expendable Resources to Debt Ratio



Debt Burden Ratio

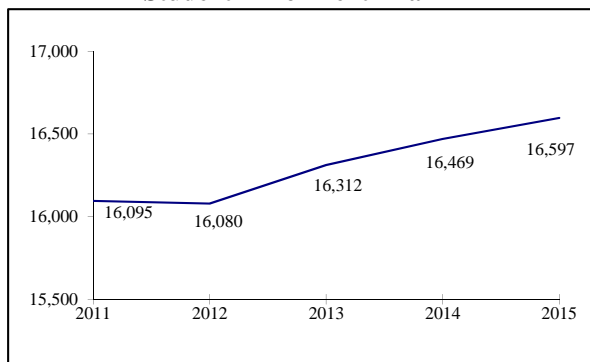


Debt Service Coverage Ratio



**The University of Texas at El Paso
2015 Summary of Financial Condition**

**Full-time Equivalent
Student Enrollment - Fall**



Composite Financial Index (CFI) - U. T. El Paso's CFI decreased from 2.8 in 2014 to 1.5 in 2015 primarily as a result of decreases in the return on net position and primary reserve ratios. The decrease in the return on net position ratio was largely driven by the net decrease in the fair value of investments of (\$19.0) million in 2015 as compared with a net increase of \$32.1 million in 2014 for a net change between years of (\$51.1) million. The decrease in the primary reserve ratio was attributable to decreases in total unrestricted net position and total restricted expendable net position (excluding restricted expendable for capital projects), as well as an increase in total operating expenses, all of which are discussed in more detail below.

Operating Expense Coverage Ratio - U. T. El Paso's operating expense coverage ratio decreased from 2.3 months in 2014 to 1.8 months in 2015 due to a decrease in total unrestricted net position of \$12.6 million combined with an increase in total operating expenses (including interest expense) of \$32.5 million. The decline in total unrestricted net position was primarily attributable to the net decrease in the fair value of investments allocated to designated funds, as well as the operating results in designated funds, and a decrease in the amount of unrestricted funding for capital projects in unexpended plant funds. The increase in total operating expenses was largely driven by the following: a \$10.3 million increase in salaries and wages and payroll related costs as a result of new faculty and staff hired, a 2.5% merit pool for existing faculty and staff, and increased costs for insurance and retirement contributions; an \$8.4 million increase in professional fees and services for computer services, consulting fees and special events costs; a \$4.4 million increase in other operating expenses primarily due to increases in other fees for services associated with consulting fees, credit card fees, registration fees, and college entrance exam fees; a \$3.8 million increase in scholarships and fellowships attributable to the utilization of more funds available to provide financial assistance to students; a \$2.9 million increase in depreciation and amortization expense resulting from the recognition of a full year of depreciation expense on various capital projects that were placed into service in 2014, as well as various capital projects that were placed into service in 2015; a \$1.9 million increase in other contracted services as a result of an increase in performer fees paid due to higher grossing events in 2015; and a \$1.5 million increase in materials and supplies generated by increases in furniture and equipment expensed and computer software expensed.

Annual Operating Margin Ratio - U. T. El Paso's annual operating margin ratio improved slightly from a deficit of (3.1%) for 2014 to a deficit of (2.4%) for 2015 as the growth in total operating revenues of \$34.5 million exceeded the growth in total operating expenses of \$32.5 million. The increase in total operating revenues was primarily due to the following: a \$14.0 million increase in sponsored programs revenue (including nonexchange sponsored programs and including the adjustment in the prior year for the portion of Texas Research Incentive Program funding received in 2013 but not included until 2014) as a result of increased funding from U. T. El Paso's Tuition Assistance Grants, TEXAS Grants, Pell Grants and new federal grants; a \$12.2 million increase in state appropriations due to a higher benefit appropriation of \$7.1 million resulting from the recovery of employee benefits from the prior year and a \$5.2 million proportionality adjustment; an \$11.8 million increase in net auxiliary enterprises revenue attributable to an increase in special events revenue generated from higher grossing concerts, an increase in athletics revenue related to Conference USA income distributions, and an increase in food services revenue as a result of Sodexo special events concessions; a \$6.6 million increase in net tuition and fees due to enrollment growth combined with increases in non-resident undergraduate and graduate rates; and a \$1.9 million increase in net sales and services of educational activities resulting from increases in the Registered Nurse to Bachelor of Science in Nursing online program, public and professional programs and international programs. These increases in revenues were partially offset by an \$11.6 million decrease in other operating revenues caused by the reversal of a \$5.7 million accrual recorded in 2014 at year-end for the pending reimbursement from the state for employee benefits, which was received in 2015 and included in state appropriations.

Expendable Resources to Debt Ratio - U. T. El Paso's expendable resources to debt ratio decreased from 1.0 in 2014 to 0.9 in 2015 due to decreases in total unrestricted net position of \$12.6 million, as discussed above, and total restricted expendable net position (excluding restricted expendable for capital projects) of \$8.0 million combined with an increase of \$11.9 million in the amount of debt outstanding. The decrease in total restricted expendable net position (excluding restricted expendable for capital projects) was attributable to the decrease in the fair value of investments in the endowment funds. The increase in the debt outstanding was related to the Student Housing Phase III and Campus Transformation projects.

Debt Burden Ratio - U. T. El Paso's debt burden ratio decreased from 6.3% in 2014 to 5.4% in 2015. The decrease in this ratio was a result of the increase in total operating expenses, as previously mentioned, as well as a decrease of \$1.4 million in debt service payments.

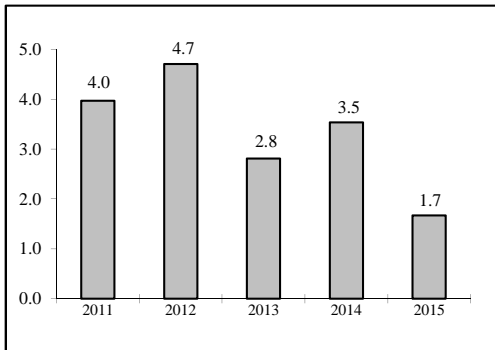
Debt Service Coverage Ratio - U. T. El Paso's debt service coverage ratio increased from 1.3 in 2014 to 1.6 in 2015 due to slightly improved operating performance, as discussed in the annual operating margin ratio above, and the decrease in debt service payments.

Full-Time Equivalent (FTE) Student Enrollment - U. T. El Paso's FTE student enrollment increased slightly due to a 1.3% increase in undergraduate enrollment.

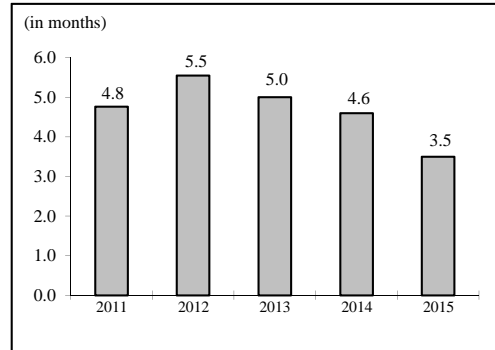
**The University of Texas-Pan American
2015 Summary of Financial Condition**

Financial Condition: **Not Rated Due to Transition to U. T. Rio Grande Valley**

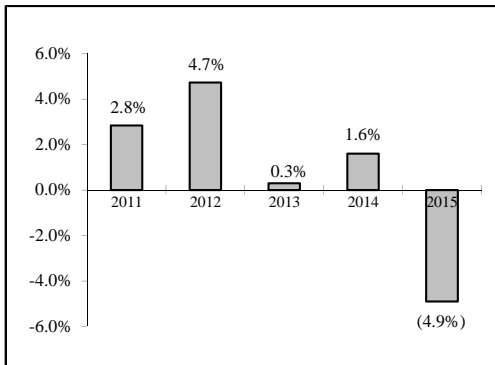
Composite Financial Index



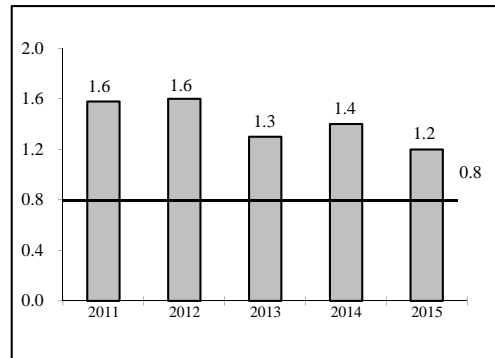
Operating Expense Coverage Ratio



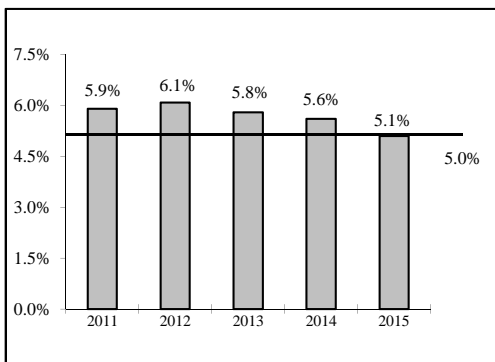
Annual Operating Margin Ratio



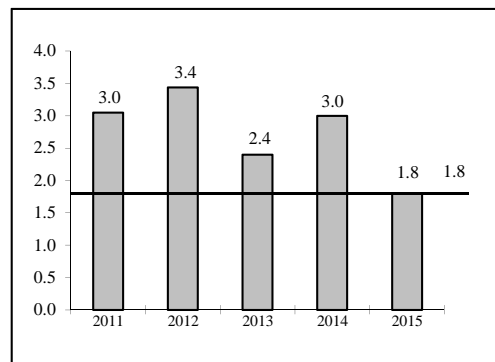
Expendable Resources to Debt Ratio



Debt Burden Ratio

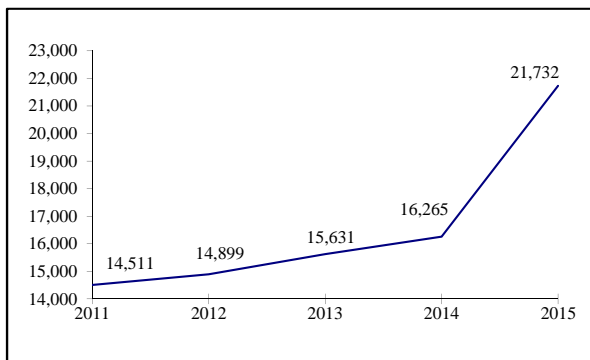


Debt Service Coverage Ratio



**The University of Texas-Pan American
2015 Summary of Financial Condition**

**Full-time Equivalent
Student Enrollment - Fall**



Composite Financial Index (CFI) - U. T. Pan American's CFI decreased from 3.5 in 2014 to 1.7 in 2015 due to decreases in all four core ratios. The decrease in the return on net position ratio was primarily driven by a net decrease in the fair value of investments of (\$8.9) million in 2015 as compared to a net increase of \$8.0 million in 2014 for a net change between years of (\$16.9) million, and an increase in total operating expenses, as discussed in more detail below. The decrease in the primary reserve ratio was due to a decrease in the total unrestricted net position combined with the increase in total operating expenses, both of which are discussed below. The decreases in the annual operating margin and expendable resources to debt ratios are also discussed below.

Operating Expense Coverage Ratio - U. T. Pan American's operating expense coverage ratio decreased from 4.6 months in 2014 to 3.5 months in 2015 primarily due to a decrease in total unrestricted net position of \$22.4 million. The decrease in total unrestricted net position was largely attributable to the following: the spending of Higher Education Assistance Fund (HEAF) funding in unexpended plant funds; the net decrease in the fair value of investments allocated to designated funds; and an increase in total operating expenses (including interest expense) of \$12.0 million. Total operating expenses increased primarily due to the following: a \$7.3 million increase in salaries and wages and payroll related costs as a result of U. T. Pan American staff simultaneously holding positions with U. T. Rio Grande Valley, and new hires for U. T. Rio Grande Valley; a \$3.7 million increase in materials and supplies largely as a result of HEAF funding; a \$2.9 million increase in other contracted services primarily attributable to expenses incurred for U. T. Rio Grande Valley; a \$2.4 million increase in depreciation and amortization due to the Fine Arts Performing Arts Complex (PAC) and the Student Academic Center which were placed into service in August 2014, as well as an addition to the Soccer Complex Phase I in 2015; a \$1.4 million increase in other operating expenses mostly due to an increase in online service contracts for accelerated graduate programs, expenses incurred for U. T. Rio Grande Valley, and an increase in international student support; and a \$1.4 million increase in utilities as a result of an increase in usage associated with the PAC and the Student Academic Center combined with an overall rate increase. These increases in expenses were partially offset by a decrease in scholarships and fellowships of \$8.1 million directly related to the increase in tuition discounting which resulted in a decrease in the amount of scholarships expense recognized.

Annual Operating Margin Ratio - U. T. Pan American's annual operating margin ratio decreased from 1.6% for 2014 to (4.9%) for 2015 resulting from a decrease in total operating revenues of \$5.2 million and an increase in total operating expenses of \$12.0 million, as discussed above. The decrease in total operating revenues was primarily due to a decrease of \$10.6 million in net tuition and fees attributable to an increase in tuition discounting related to increases in Direct Loans, Pell Grants and various other loans. This decrease in net tuition and fees was partially offset by an increase of \$3.5 million in sponsored programs revenue (including nonexchange sponsored programs) as a result of an increase in Pell Grants for the fall of 2015 for U. T. Rio Grande Valley students. The increase in operating expenses as a result of the transition to U. T. Rio Grande Valley also contributed to the decline in the annual operating margin.

Expendable Resources to Debt Ratio - U. T. Pan American's expendable resources to debt ratio decreased from 1.4 in 2014 to 1.2 in 2015 due to the decrease in total unrestricted net position, as previously discussed.

Debt Burden Ratio - U. T. Pan American's debt burden ratio decreased from 5.6% in 2014 to 5.1% in 2015. The decrease in this ratio was attributable to the increase in total operating expenses as discussed in further detail above.

Debt Service Coverage Ratio - U. T. Pan American's debt service coverage ratio decreased from 3.0 in 2014 to 1.8 in 2015 due to the decline in operating performance as discussed in the annual operating margin ratio.

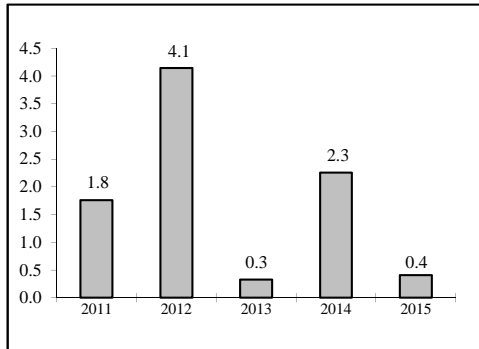
Full-Time Equivalent (FTE) Student Enrollment - The increase in FTE student enrollment was due to U. T. Pan American reporting U. T. Rio Grande Valley enrollment for the fall of 2015.

U. T. Rio Grande Valley is an accounting merger that will occur in fiscal year 2016 combining student enrollment from U. T. Brownsville and U. T. Pan American as well as new medical school students. U. T. Rio Grande Valley enrolled its first academic class in the fall of 2015 and is expected to enroll its first medical student class in the fall 2016. In accordance with the statute creating U. T. Rio Grande Valley, U. T. Pan American was abolished by the U. T. System Board of Regents effective September 1, 2015.

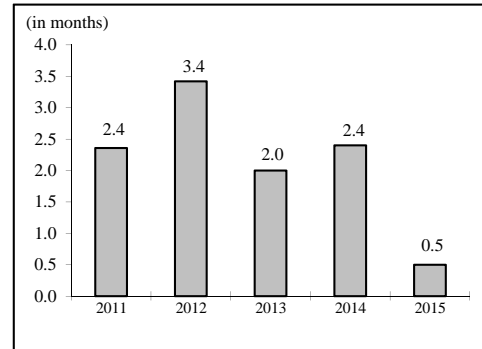
**The University of Texas of the Permian Basin
2015 Summary of Financial Condition**

Financial Condition: **Watch**

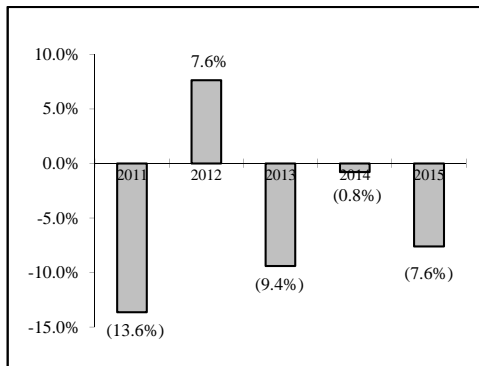
Composite Financial Index



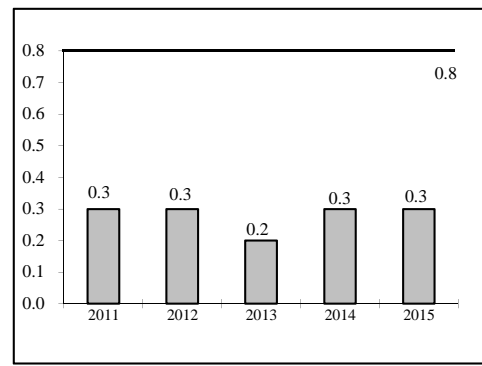
Operating Expense Coverage Ratio



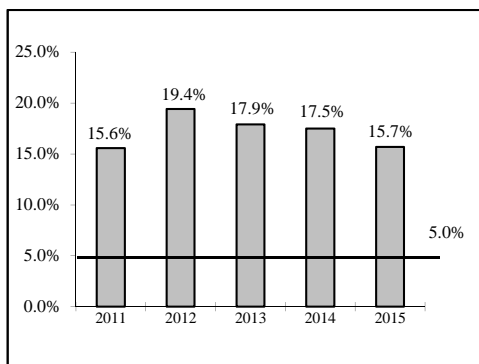
Annual Operating Margin Ratio



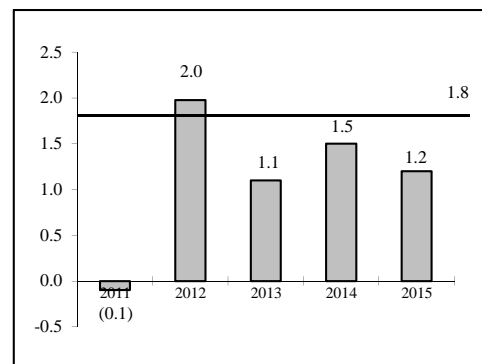
Expendable Resources to Debt Ratio



Debt Burden Ratio

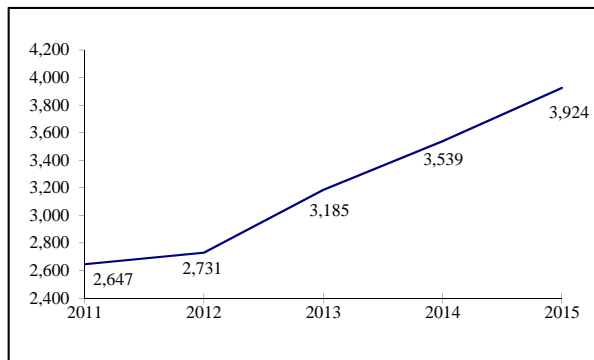


Debt Service Coverage Ratio



**The University of Texas of the Permian Basin
2015 Summary of Financial Condition**

**Full-time Equivalent
Student Enrollment - Fall**



Composite Financial Index (CFI) - U. T. Permian Basin's CFI decreased from 2.3 in 2014 to 0.4 in 2015 as a result of decreases in the return on net position, annual operating margin and primary reserve ratios. The decrease in the return on net position ratio was primarily driven by the following: the net decrease in the fair value of investments of (\$2.2) million in 2015 as compared to a net increase of \$3.2 million in 2014 for a net change between years of (\$5.4) million; and a \$32.6 million decrease in the amount of bond proceeds transferred to U. T. Permian Basin in 2015 related to the Residence Hall capital project. The decrease in the primary reserve ratio resulted from the decrease in total unrestricted net position and the increase in total operating expenses, both of which are discussed below. The decrease in the annual operating margin is also discussed in detail below.

Operating Expense Coverage Ratio - U. T. Permian Basin's operating expense coverage ratio decreased from 2.4 months in 2014 to 0.5 months in 2015 due to a decrease of \$11.5 million in total unrestricted net position. The decrease in total unrestricted net position was primarily attributable to a decrease in net tuition and fees as a result of tuition and fees received in August 2014 for the fall of fiscal year 2015 which were not deferred, and an increase in operating expenses directly related to enrollment growth discussed below. Tuition and fees received in August 2015 were properly deferred causing the reduction in unrestricted net position in 2015.

Annual Operating Margin Ratio - U. T. Permian Basin's annual operating margin ratio decreased from (0.8%) for 2014 to (7.6%) for 2015 as the growth in total operating expenses (including interest expense) of \$14.0 million exceeded the growth in total operating revenues of \$8.4 million. Total operating expenses increased primarily due to the following: a \$4.7 million increase in salaries and wages and payroll related costs as a result of merit increases and additional adjunct faculty to support the enrollment growth; a \$2.5 million increase in scholarships and fellowships directly related to the increased enrollment; a \$1.8 million increase in depreciation and amortization expense driven by a full year of depreciation recognized on the Student Housing Phase VI, which was placed into service late in 2014; a \$1.2 million increase in other contracted services generated by an increase in outsourced food operations and building maintenance contracts; a \$1.0 million increase in professional fees and services due to payments for the Academic Partnership for recruitment assistance; a \$0.9 million increase in repairs and maintenance primarily attributable to increased costs of repairs on building maintenance and facility projects; a \$0.5 million increase in interest expense; a \$0.4 million increase in materials and supplies as a result of increased costs for computer software and equipment; and a \$0.4 million increase in other operating expenses largely due to increased costs in various areas including insurance services, professional memberships, official occasions costs, grant expenses related to pass-throughs, and merchant service fees. Total operating revenues increased primarily due to the following: a \$10.1 million increase in gifts for operations as a result of gifts received for football in 2015; a \$5.4 million increase in sponsored programs revenue (including nonexchange sponsored programs) primarily due to state pass-through revenue received from the Texas Higher Education Coordinating Board for the STEM Charter Academy and an increase in federal pass-through revenue for the Home Visiting Grant; a \$0.5 million increase in other operating revenues mostly attributable to reimbursements for U. T. Brownsville's *ad interim* president, a former provost and vice president of Academic Affairs at U. T. Permian Basin, who was asked by the Chancellor to serve as *ad interim* president at U. T. Brownsville and helped facilitate the transition to U. T. Rio Grande Valley; and a \$0.3 million increase in net investment income (excluding realized gains/losses). These increase in revenue were partially offset by a decrease in net tuition and fees of \$7.5 million resulting from tuition and fees received in August 2014 for the fall of fiscal year 2015 which were not deferred. Tuition and fees received in August 2015 were properly deferred.

Expendable Resources to Debt Ratio - U. T. Permian Basin's expendable resources to debt ratio remained unchanged at 0.3 in 2015. The stability of this ratio was attributable to the growth of \$9.0 million in total restricted expendable net position (excluding restricted expendable for capital projects) which largely offset the decrease in total unrestricted net position of \$11.5 million, as previously discussed. The increase in total restricted expendable net position (excluding restricted expendable for capital projects) was primarily generated by the gifts received for football in 2015.

Debt Burden Ratio - U. T. Permian Basin's debt burden ratio decreased from 17.5% in 2014 to 15.7% in 2015 as a result of the increase in total operating expenses as discussed in the annual operating margin ratio.

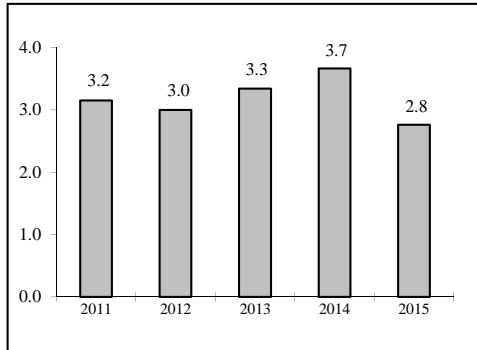
Debt Service Coverage Ratio - U. T. Permian Basin's debt service coverage ratio decreased from 1.5 in 2014 to 1.2 in 2015 due to the decline in operating performance mentioned above, combined with an increase of \$0.5 million in debt service payments.

Full-Time Equivalent (FTE) Student Enrollment - U. T. Permian Basin's FTE student enrollment increased from 3,539 in 2014 to 3,924 in 2015 due to an increase in the programs offered and changes in tuition.

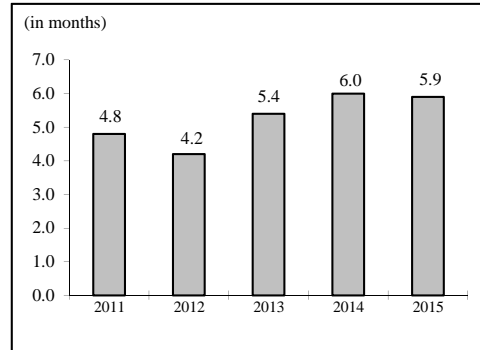
**The University of Texas at San Antonio
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

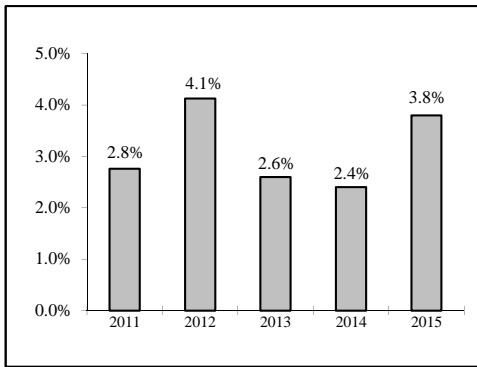
Composite Financial Index



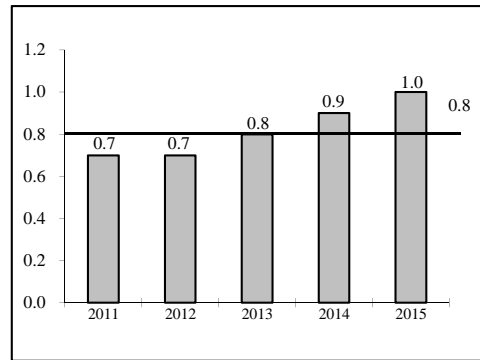
Operating Expense Coverage Ratio



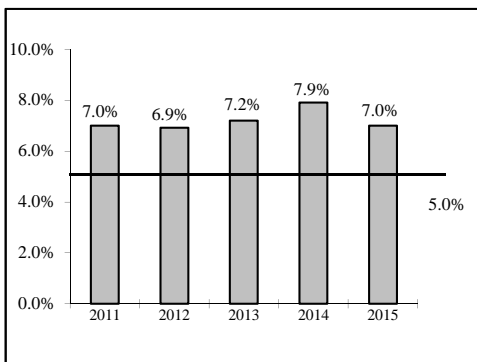
Annual Operating Margin Ratio



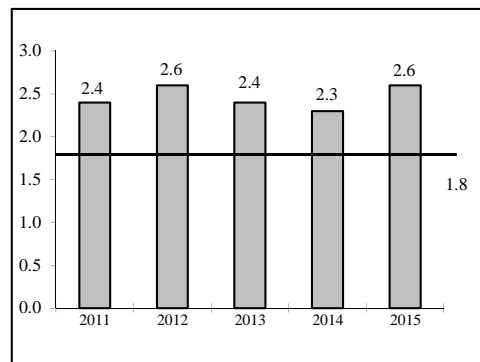
Expendable Resources to Debt Ratio



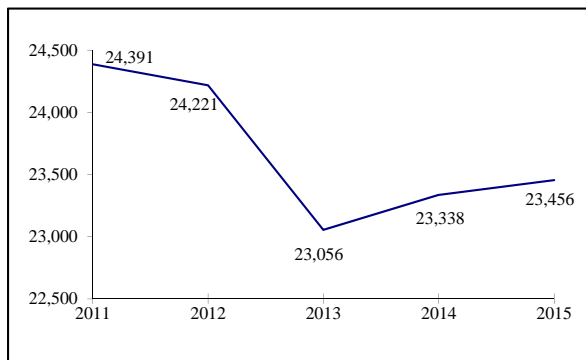
Debt Burden Ratio



Debt Service Coverage Ratio



**The University of Texas at San Antonio
2015 Summary of Financial Condition
Full-time Equivalent
Student Enrollment - Fall**



Composite Financial Index (CFI) - U. T. San Antonio's CFI decreased from 3.7 in 2014 to 2.8 in 2015 primarily as a result of a decrease in the return on net position ratio. The decrease in the return on net position ratio was largely driven by the net decrease in the fair value of investments of (\$28.5) million in 2015 as compared to a net increase of \$25.5 million in 2014 for a net change between years of (\$54.0) million.

Operating Expense Coverage Ratio - U. T. San Antonio's operating expense coverage ratio decreased from 6.0 months in 2014 to 5.9 months in 2015 due to an increase in total operating expenses (including interest expense) of \$20.3 million. The growth in total operating expenses was primarily attributable to the following: a \$5.8 million increase in materials and supplies largely due to the purchase of furnishings and equipment for the North Paseo Building which did not meet the threshold for capitalization; a \$5.5 million increase in scholarships and fellowships as a result of additional scholarships issued under the TEXAS Grant Program; a \$3.4 million increase in salaries and wages and payroll related costs resulting from market adjustments and filled vacancies; a \$2.0 million increase in other operating expenses generated from increases in student official occasion expenses and various miscellaneous expenses; a \$1.7 million increase in repairs and maintenance due to increased maintenance for buildings, particularly housing, and increased maintenance expense of the grounds; a \$1.6 million increase in other contracted services primarily attributable to an increase in meal plan costs; and a \$1.4 million increase in professional fees and services as a result of the increased use of consultant services, particularly for PeopleSoft support. These increases in expenses were slightly offset by a \$1.2 million decrease in rentals and leases due to the relocation of offices back to the main campus.

Annual Operating Margin Ratio - U. T. San Antonio's annual operating margin ratio increased from 2.4% for 2014 to 3.8% for 2015 as the growth in total operating revenues of \$27.9 million outpaced the growth in total operating expenses of \$20.3 million. The increase in total operating revenues was largely attributable to the following: a \$7.4 million increase in net tuition and fees as a result of an earlier class start date in August 2015, which increased the number of days recognized for the fall semester from 3 days in fiscal year 2014 to 10 days in fiscal year 2015; a \$7.3 million increase in sponsored programs revenue (including nonexchange sponsored programs) due to prepaid contracts received in 2014 that were recognized in 2015, an increase in City Public Service revenue, and new projects in 2015 from a variety of corporations and foundations; a \$4.1 million increase in net investment income (excluding realized gains/losses); a \$3.9 million increase in net auxiliary enterprises revenue generated from an increase in dormitory revenue as additional days were recognized in the fall semester and funding received from Conference USA; a \$3.2 million increase in state appropriations; and a \$1.5 million increase in net sales and services of educational activities primarily attributable to an increase in course and instructor fee revenue for the Executive MBA and Intensive English programs.

Expendable Resources to Debt Ratio - U. T. San Antonio's expendable resources to debt ratio increased from 0.9 in 2014 to 1.0 in 2015. The increase in this ratio was due to a decrease of \$15.6 million in the amount of debt outstanding.

Debt Burden Ratio - U. T. San Antonio's debt burden ratio decreased from 7.9% in 2014 to 7.0% in 2015 as a result of a \$2.5 million decrease in debt service payments combined with the increase in total operating expenses as previously discussed.

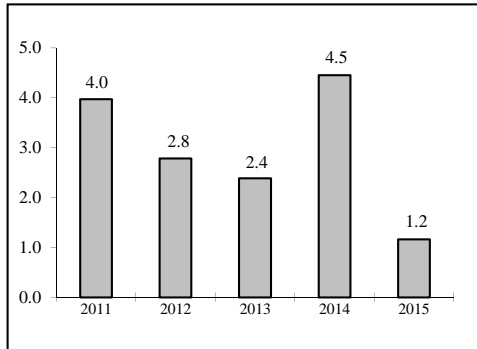
Debt Service Coverage Ratio - U. T. San Antonio's debt service coverage ratio increased from 2.3 in 2014 to 2.6 in 2015. The increase in this ratio was attributable to the improvement in operating performance, as well as the decrease in debt service payments.

Full-Time Equivalent (FTE) Student Enrollment - U. T. San Antonio's FTE student enrollment increased by 118 FTE's. This increase was in undergraduate student FTE enrollment. After the drop in enrollment two years ago due to the increase in enrollment standards, U. T. San Antonio is now attracting and retaining students that meet the higher standards.

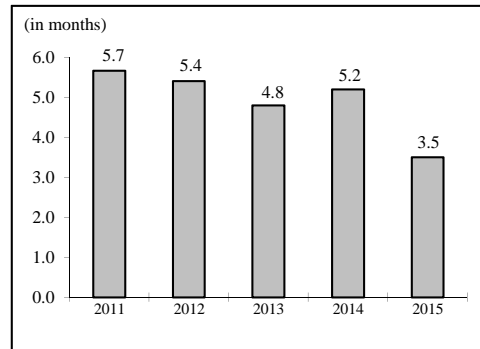
**The University of Texas at Tyler
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

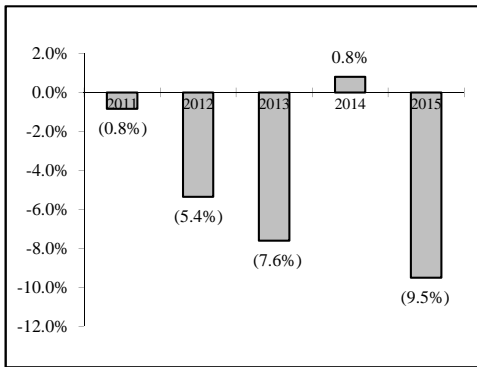
Composite Financial Index



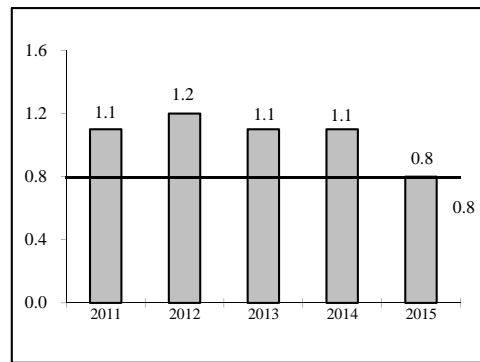
Operating Expense Coverage Ratio



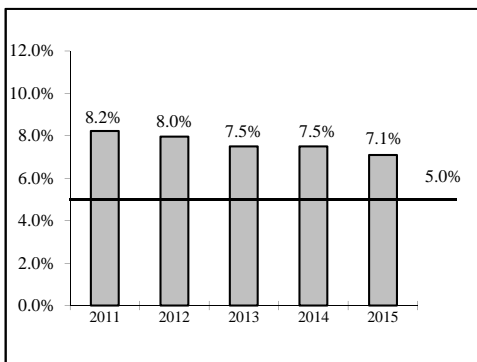
Annual Operating Margin Ratio



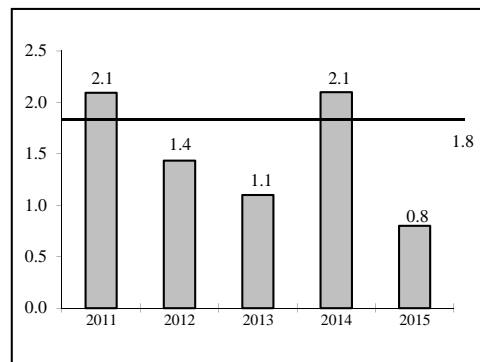
Expendable Resources to Debt Ratio



Debt Burden Ratio

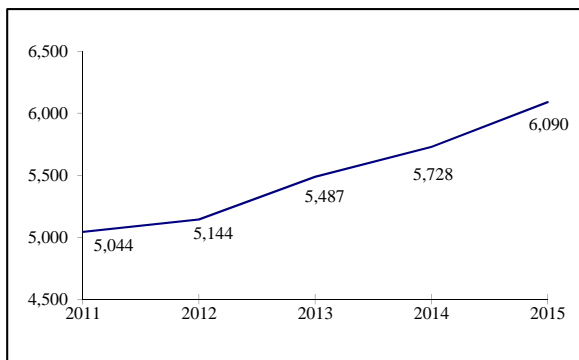


Debt Service Coverage Ratio



**The University of Texas at Tyler
2015 Summary of Financial Condition**

**Full-time Equivalent
Student Enrollment - Fall**



Composite Financial Index (CFI) - U. T. Tyler's CFI decreased from 4.5 in 2014 to 1.2 in 2015 as a result of decreases in all four core ratios, primarily due to a budgeted deficit in operating income in order to reduce excess net position. The reduction in the return on net position ratio was primarily driven by the following: a decline in operating performance as evidenced by the change in the annual operating margin ratio below; a net decrease in the fair value of investments of (\$5.8) million in 2015 as compared to a net increase of \$9.9 million in 2014 for a net change between years of (\$15.7) million; and fewer bond proceeds transferred to U. T. Tyler in 2015 as a result of the Eagles Landing and Pharmacy Building in 2014. The decrease in the primary reserve ratio was attributable to a decrease in total unrestricted net position and an increase in total operating expenses both of which are detailed below. The decreases in the annual operating margin and the expendable resources to debt ratios are also discussed below.

Operating Expense Coverage Ratio - U. T. Tyler's operating expense coverage ratio decreased from 5.2 months in 2014 to 3.5 months in 2015 due to a decrease in total unrestricted net position of \$12.1 million and an increase in total operating expenses (including interest expense) of \$13.6 million. The reduction in total unrestricted net position was primarily attributable to the decline in operating performance in designated funds combined with the net decrease in the fair value of investments allocated to designated funds. Total operating expenses increased largely due to the following: an \$8.7 million increase in salaries and wages and payroll related costs as a result of merit increases and market adjustments, as well as additional faculty and staff for the College of Pharmacy; a \$2.5 million increase in materials and supplies resulting from increased purchases of furniture and equipment not capitalized; a \$2.3 million increase in professional fees and services primarily attributable to increases in the marketing campaign, educational training, engineering services and various other professional services; and a \$1.7 million increase in depreciation and amortization expense due to the College of Pharmacy building, which was placed into service in 2015, as well as the completion of the Eagles Landing apartment remodeling project which was completed in 2015.

Annual Operating Margin Ratio - U. T. Tyler's annual operating margin ratio decreased from 0.8% for 2014 to (9.5%) for 2015 as the growth in total operating expenses of \$13.6 million exceeded the growth in total operating revenues of \$1.6 million. The increase in total operating revenues was primarily due to the following: a \$4.4 million increase in net tuition and fees as a result of 6% enrollment growth and 15% growth in the Academic Partnership Program; and a \$1.7 million increase in auxiliary enterprises revenue generated by growth in housing and food related to the purchase of the Eagles Landing apartments combined with an increase in ticket sales for events held at the performing arts center. These increases in revenue were partially offset by a \$4.4 million decrease in gifts for operations attributable to the recognition of the Fisch gift for the College of Pharmacy in 2014 with no such comparable gift in 2015.

Expendable Resources to Debt Ratio - U. T. Tyler's expendable resources to debt ratio decreased from 1.1 in 2014 to 0.8 in 2015. The decline in this ratio was attributable to the decrease in total unrestricted net position of \$12.1 million, as discussed above, combined with an increase of \$10.6 million in the amount of debt outstanding related to the College of Pharmacy building.

Debt Burden Ratio - U. T. Tyler's debt burden ratio decreased from 7.5% in 2014 to 7.1% in 2015 as a result of the increase in total operating expenses as previously discussed.

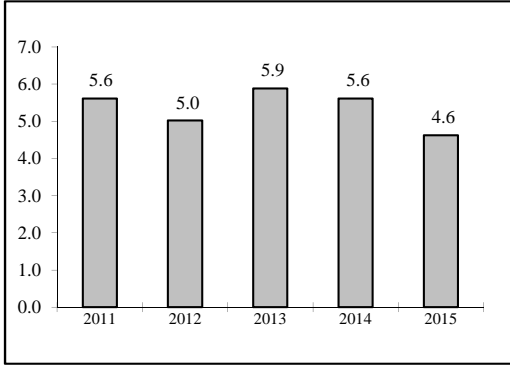
Debt Service Coverage Ratio - U. T. Tyler's debt service coverage ratio decreased from 2.1 in 2014 to 0.8 in 2015. The decrease in this ratio was caused by the decline in operating performance as discussed in the annual operating margin ratio.

Full-Time Equivalent (FTE) Student Enrollment - U. T. Tyler's FTE student enrollment increased by 362 or 6.3% from 2014. The increase was due to continued efforts in student recruitment and retention.

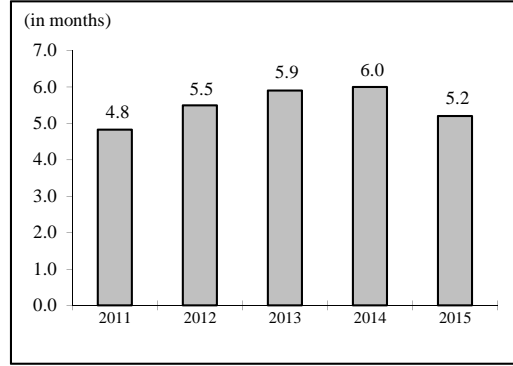
**The University of Texas Southwestern Medical Center
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

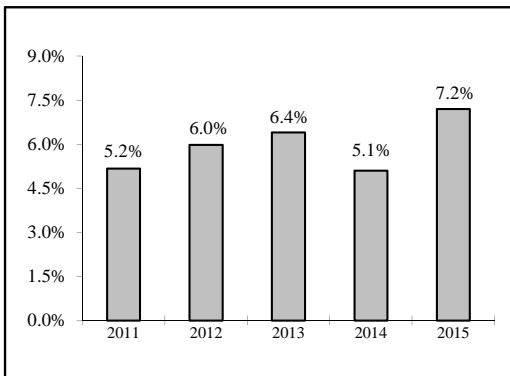
Composite Financial Index



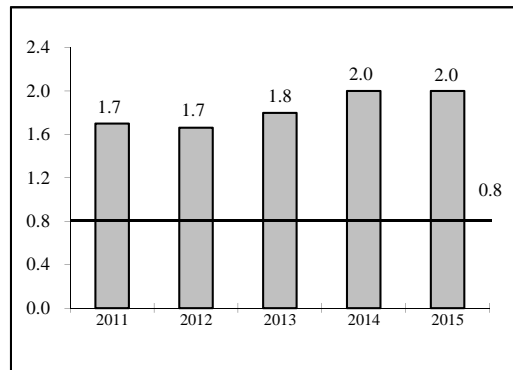
Operating Expense Coverage Ratio



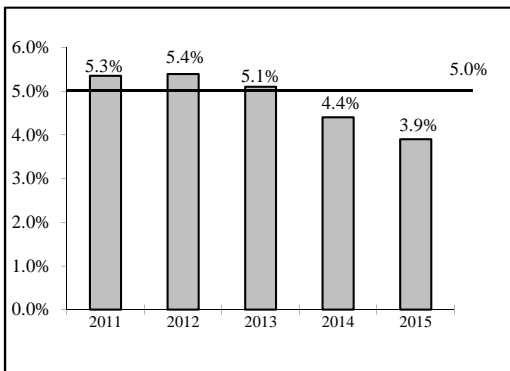
Annual Operating Margin Ratio



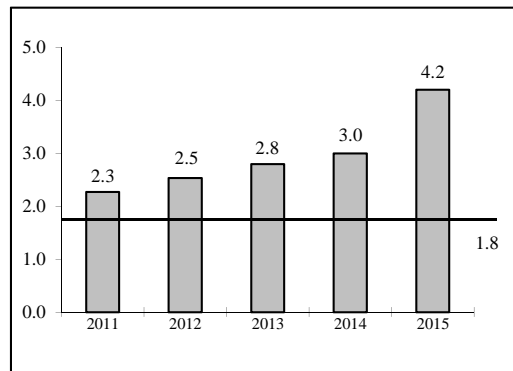
Expendable Resources to Debt Ratio



Debt Burden Ratio



Debt Service Coverage Ratio



The University of Texas Southwestern Medical Center 2015 Summary of Financial Condition

Composite Financial Index (CFI) - U. T. Southwestern Medical Center's (Southwestern) CFI decreased from 5.6 in 2014 to 4.6 in 2015 primarily as a result of a decrease in the return on net position ratio largely driven by the net decrease in the fair value of investments of (\$138.3) million in 2015 as compared to a net increase in the fair value of investments in 2014 of \$181.8 million for a net change between years of (\$320.1) million.

Operating Expense Coverage Ratio - Southwestern's operating expense coverage ratio decreased from 6.0 months in 2014 to 5.2 months in 2015 due to a decrease in total unrestricted net position of \$40.2 million and an increase in total operating expenses (including interest expense) of \$240.1 million. The decline in total unrestricted net position was primarily attributable to a decrease in unexpended plants funds resulting from spending these funds for capital projects in 2015. The increase in total operating expenses was largely due to the following: a \$55.1 million increase in other operating expenses as a result of increased expenses related to instruction and research; a \$51.1 million increase in materials and supplies primarily related to the increase in patient volumes, which resulted in higher costs for drugs, implants, medical supplies, and various other supplies, as well as increased expenses for furniture and equipment not capitalized and other start-up costs associated with the opening of the William P. Clements University Hospital; a \$50.7 million increase in salaries and wages and payroll related costs driven by a 2.5% merit pool for faculty, administrative and professional staff, and classified employees; a \$13.2 million increase in depreciation and amortization expense due to the William P. Clements University Hospital, which was placed into service in December 2014; an \$8.7 million increase in interest expense; an \$8.6 million increase in repairs and maintenance resulting from an increase in building maintenance and non-capital building improvements; a \$4.6 million increase in utilities due to the addition of the William P. Clements University Hospital and a change in the allocation of costs between the hospital and Southwestern; a \$3.2 million increase in rentals and leases as a result of Brookriver, Tuscan Medical Properties and Hillcrest Crossing Office leases, as well as increased hospital equipment leases; and a \$2.6 million increase in cost of goods sold related to dining activities in the William P. Clements University Hospital.

Annual Operating Margin Ratio - Southwestern's annual operating margin ratio increased from 5.1% for 2014 to 7.2% for 2015 as the growth in total operating revenues of \$309.4 million far exceeded the growth in total operating expenses of \$240.1 million as discussed above. Total operating revenues increased primarily due to the following: a \$141.2 million increase in net sales and services of hospitals as a result of increased outpatient and inpatient visits; a \$69.1 million increase in sponsored programs revenue largely attributable to increases in the contracts with Parkland Memorial Hospital and the Children's Medical Center combined with a large increase from the Cancer Prevention and Research Institute of Texas for cancer research; a \$52.2 million increase in gifts for operations primarily as a result of a \$25.0 million gift pledge for the establishment of the Department of Bioinformatics along with a \$14.7 million multi-year gift pledge from the Hamon Charitable Foundation in support of the Advanced Imaging Research Center; and a \$43.2 million increase in other operating revenues largely driven by a \$29.4 million increase in the Delivery System Reform Incentive Payments associated with the Medicaid Section 1115 Demonstration combined with an \$8.7 million increase in the Network Access Improvement Program revenue.

Expendable Resources to Debt Ratio - Southwestern's expendable resources to debt ratio remained unchanged at 2.0 in 2014 and 2015. The stability of this ratio was due to the decrease in total unrestricted net position of \$40.2 million, as previously discussed, offset by a reduction of \$41.0 million in the amount of debt outstanding.

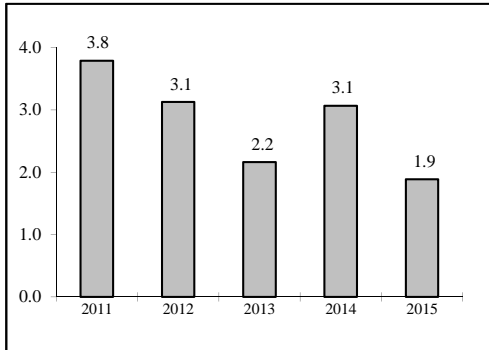
Debt Burden Ratio - Southwestern's debt burden ratio decreased from 4.4% in 2014 to 3.9% in 2015 as a result of a decrease of \$1.5 million in debt service payments and the increase in total operating expenses as discussed above.

Debt Service Coverage Ratio - Southwestern's debt service coverage ratio increased from 3.0 in 2014 to 4.2 in 2015. The increase in this ratio was attributable to the improvement in the operating performance as discussed in the annual operating margin ratio.

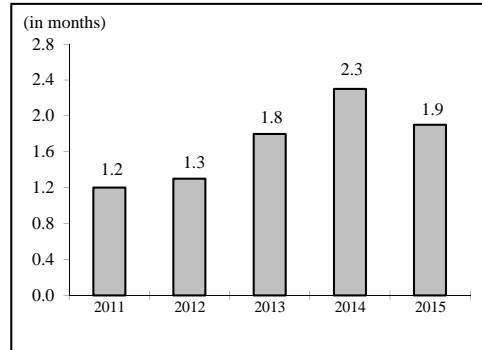
**The University of Texas Medical Branch at Galveston
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

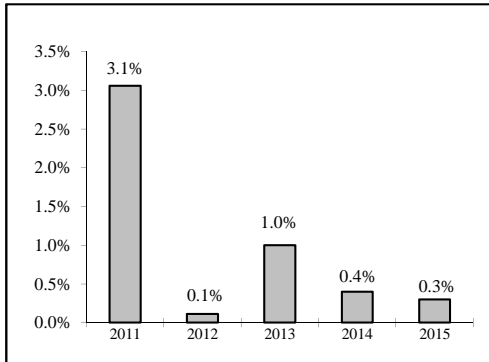
Composite Financial Index



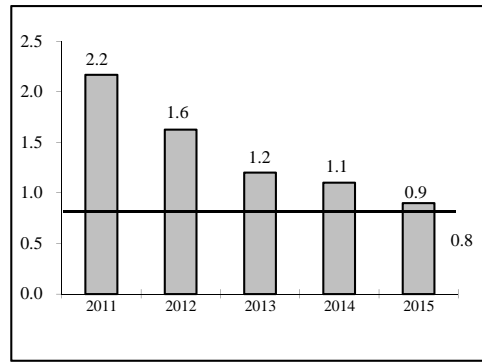
Operating Expense Coverage Ratio



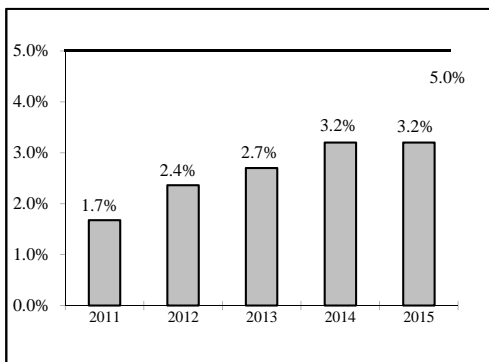
Annual Operating Margin Ratio



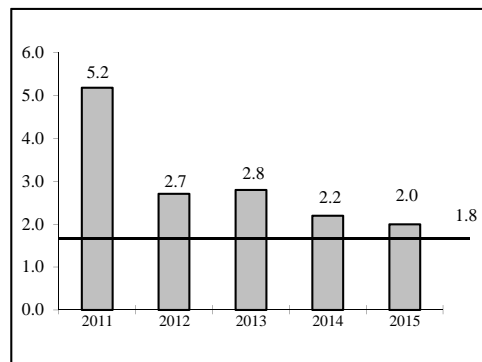
Expendable Resources to Debt Ratio



Debt Burden Ratio



Debt Service Coverage Ratio



**The University of Texas Medical Branch at Galveston
2015 Summary of Financial Condition**

Composite Financial Index (CFI) - U. T. Medical Branch - Galveston's (UTMB) CFI decreased from 3.1 in 2014 to 1.9 in 2015 due to decreases in both the return on net position and expendable resources to debt ratios. The decrease in the return on net position ratio was largely driven by a smaller change in net position between years of \$244.3 million. While UTMB added \$23.9 million to net position as a result of Income (Loss) Before Change in Fair Value of Investments, Other Revenue, Expenses, Gains (Losses) and Transfers (\$6.3 million more than the prior year) this increase was offset by lower transfers of bond proceeds of \$159.9 million, a higher change in anticipated bond proceeds of \$63.8 million, and a decrease in the fair value of investments of (\$50.2) million as compared to a net increase of \$62.6 million in 2014 for a change between years of (\$112.8) million. Other factors in the lower change in net position include \$35.9 million less in gifts and grants for capital assets and \$2.9 million less for additions to endowments.

Operating Expense Coverage Ratio - UTMB's operating expense coverage ratio decreased from 2.3 months in 2014 to 1.9 months in 2015 due to a decrease in total unrestricted net position of \$26.3 million, as well as an increase in total operating expenses (including interest expense) of \$115.1 million. The decrease in total unrestricted net position was largely attributable to the net decrease in the fair value of investments allocated to designated funds. Total operating expenses increased primarily due to the following: a \$56.9 million increase in salaries and wages and a \$17.6 million increase in payroll related costs as a result of merit increases and a faculty incentive plan that promotes and rewards outstanding performance; a \$15.8 million increase in materials and supplies due to increases in medical and surgical supplies, medical implants and various supplies as a result of increased patient volume; a \$12.1 million increase in other contracted services primarily attributable to increases in Texas Department of Criminal Justice (TDCJ) offsite expenses, a new food service contract, expenses for projects related to the Delivery System Reform Incentive Payments (DSRIP) associated with the Medicaid Section 1115 Demonstration, and cleaning/general services; a \$6.1 million increase in cost of goods sold resulting from hospital and clinic pharmacy cost increases for chemotherapy agents, inventory adjustments, an increase in usage of blood factor products, and an increase in TDCJ pharmacy contract costs; and a \$4.0 million increase in depreciation and amortization expense as a result of various construction projects being placed into service in 2014.

UTMB's operating expenses include those expenses incurred in the delivery of care to the offender population through a contract with TDCJ. This contract is a cost reimbursement contract and as such is not expected to generate a net position. Reviewing UTMB's operating expense coverage ratio excluding the TDCJ contract expenses of \$458.1 million presents a ratio that more clearly reflects UTMB's ability to meet future business obligations. The operating expense coverage ratio excluding the TDCJ contract would equal 2.6 months as compared to 1.9 months when included.

Annual Operating Margin Ratio - UTMB's annual operating margin ratio decreased from 0.4% for 2014 to 0.3% for 2015 as a result of the growth in total operating expenses of \$115.1 million outpacing the growth in total operating revenues of \$113.1 million. Total operating revenues increased primarily due to the following: a \$79.1 million increase in net sales and services of hospitals driven by volume increases (discharges 11.8% and outpatient encounters 19.3%), as well as an overall estimated rate increase of 4.1% effective March 1, 2015; an increase in other operating revenues of \$26.8 million largely attributable to an increase in DSRIP combined with an increase in contract pharmacy revenue as the number of contract pharmacies increased from 16 to 25 as part of the Sentry Program; an increase in state appropriations of \$11.4 million after adjusting for House Bill 2 (HB 2) supplemental funding as discussed below; and a \$5.2 million increase in investment income (excluding realized gains and losses).

In 2015 UTMB received \$8.2 million in HB 2 supplemental funding to construct a biocontainment critical care facility. None of this supplemental funding was spent in 2015. Therefore, in order to more appropriately match revenues with expenses, the entire \$8.2 million was removed from 2015 revenues. When the 2016 Analysis of Financial Condition (AFC) is prepared, the amount of supplemental funding spent will be added to the 2016 revenues. This same adjustment will be made to subsequent AFCs until the entire \$8.2 million is spent.

Expendable Resources to Debt Ratio - UTMB's expendable resources to debt ratio decreased from 1.1 in 2014 to 0.9 in 2015. The decline in this ratio was attributable to both a decrease in total unrestricted net position (as discussed above) and a decrease in total restricted expendable net position (excluding restricted expendable for capital projects), combined with an increase of \$53.2 million in the amount of debt outstanding. The decrease in total restricted expendable net position (excluding restricted expendable for capital projects) was primarily due to a decrease in the fair value of investments in endowment funds. The increase in the amount of debt outstanding was related to the Victory Lakes Specialty Care Center expansion and Jennie Sealy Hospital.

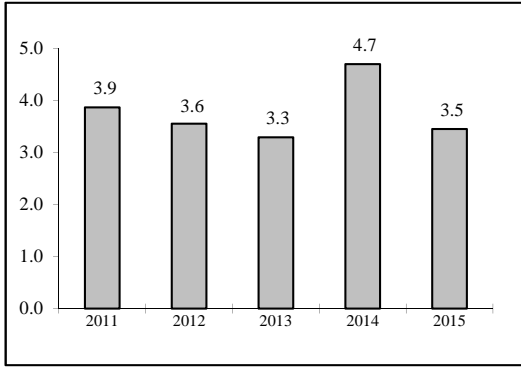
Debt Burden Ratio - UTMB's debt burden ratio remained unchanged at 3.2% in 2015. The stability of this ratio was due to the increase of \$2.9 million in debt service payments which was offset by the growth in total operating expenses.

Debt Service Coverage Ratio - UTMB's debt service coverage ratio decreased from 2.2 in 2014 to 2.0 in 2015. The decrease in this ratio was attributable to the decline in the annual operating margin, as previously discussed, and the increase in debt service payments as a result of the increase in debt.

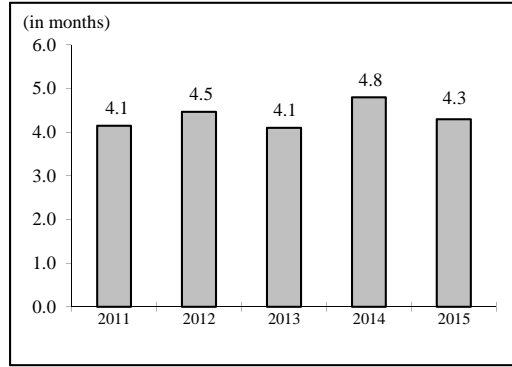
**The University of Texas Health Science Center at Houston
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

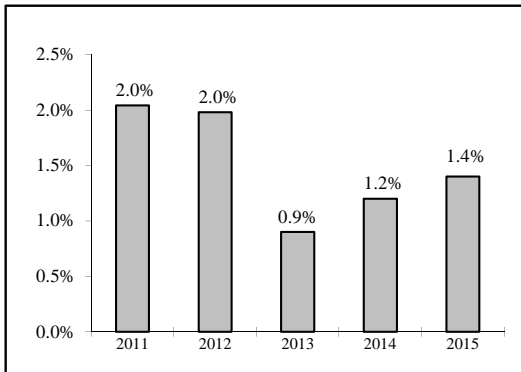
Composite Financial Index



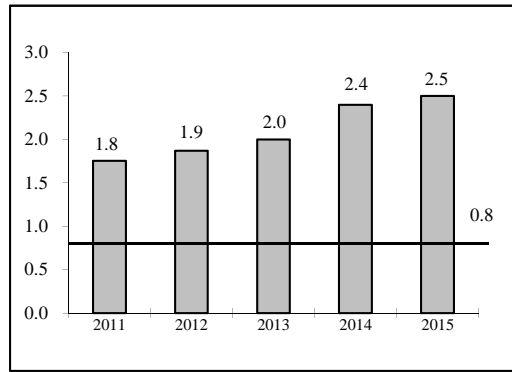
Operating Expense Coverage Ratio



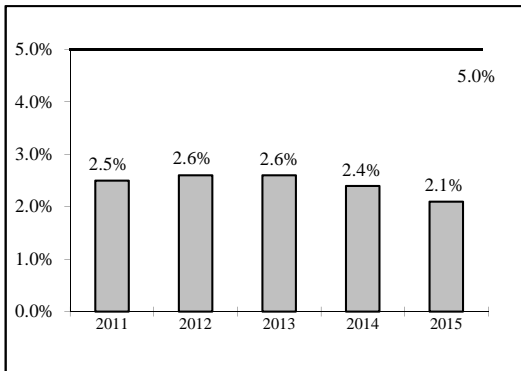
Annual Operating Margin Ratio



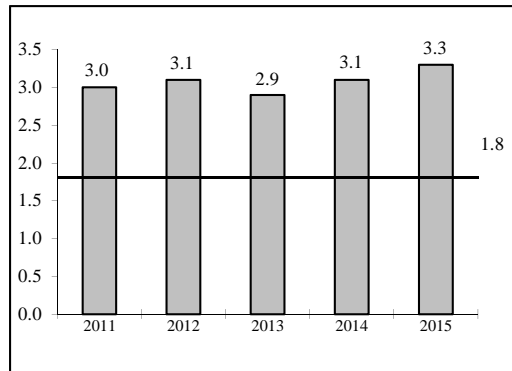
Expendable Resources to Debt Ratio



Debt Burden Ratio



Debt Service Coverage Ratio



The University of Texas Health Science Center at Houston 2015 Summary of Financial Condition

Composite Financial Index (CFI) - U. T. Health Science Center - Houston's (UTHSC-Houston) CFI decreased from 4.7 in 2014 to 3.5 in 2015 primarily due to decreases in the return on net position and primary reserve ratios. The decrease in the return on net position ratio was attributable to a decrease in total net position of (\$24.7) million in 2015 as compared to an increase in total net position in 2014 of \$104.5 million for a difference between years of (\$129.2) million. The main driving forces behind the decrease in net position were as follows: a net decrease in the fair value of investments of (\$39.8) million in 2015 as compared to a net increase of \$47.8 million for a net change between years of (\$87.5) million; and a transfer of \$29.7 million from M. D. Anderson in 2014 for the sale of the School of Dentistry with no comparable transfers in 2015. The decline in the primary reserve ratio was largely attributable to the increase in total operating expenses as discussed in more detail below.

Operating Expense Coverage Ratio - UTHSC-Houston's operating expense coverage ratio decreased from 4.8 months in 2014 to 4.3 months in 2015 due to an increase in total operating expenses (including interest expense) of \$143.2 million. The increase in total operating expenses was primarily attributable to the growth of the physician practice plan, with salaries and wages and payroll related costs increasing \$107.7 million. The increase in salaries and wages and payroll related costs continues to be a result of the ongoing recruitment efforts that correspond with the planned clinical enterprise expansion. In addition, the practice plan had increases in various other line items related to the growth of the plan: a \$7.9 million increase in professional fees and services due to outsourcing revenue cycle software maintenance; a \$6.3 million increase in rentals and leases as a result of 19 new locations leased to accommodate growth; a \$4.8 million increase in materials and supplies for medical supply purchases; and a \$2.7 million increase in repairs and maintenance attributable to the additional license/maintenance fees associated with the expansion of clinical information technology. In addition to the growth of the physician practice plan, UTHSC-Houston saw an increase of \$7.2 million in cost of goods sold, which was directly related to the increase in revenue in the Hemophilia/Thrombophilia Pharmacy Program; a \$2.2 million increase in depreciation and amortization expense due to a full year of operation for the University Housing Phase III expansion; and an increase of \$2.1 million in the School of Public Health Delivery System Reform Incentive Program (DSRIP) in the Rio Grande Valley area.

Annual Operating Margin Ratio - UTHSC-Houston's annual operating margin ratio increased from 1.2% for 2014 to 1.4% for 2015 as the growth in total operating revenues of \$147.7 million exceeded the growth in total operating expenses of \$143.2 million. Total operating revenues increased primarily due to the following: a \$48.6 million increase in sponsored programs revenue as a result of expanded contracted services at Memorial Hermann Healthcare System and Harris County Hospital District; a \$48.4 million increase in net professional fees attributable to increased gross charge volumes resulting from the growth in the physician practice plan combined with the recognition of \$19.4 million in uncompensated care revenue in 2015 as compared to \$11.8 million in 2014; a \$17.6 million increase in other operating revenues primarily due to the recognition of \$44.9 million in DSRIP revenue in 2015 as compared to \$27.6 million in 2014; a \$7.6 million increase in net sales and services of hospitals as a result of growth in the Hemophilia/Thrombophilia Pharmacy Program; a \$7.0 million increase in gifts for operations due to an increase in the number of donors to an all-time high of 3,035 donors; a \$6.0 million increase in net sales and services of educational activities primarily attributable to reporting amounts from state agencies for resident services as sales and services of educational activities versus local sponsored programs as in prior years; a \$3.8 million increase in net investment income (excluding realized gains/losses); a \$3.0 million increase in net tuition and fees generated by an increase in rates; and a \$2.6 million increase in net auxiliary enterprises revenue due to a new housing unit which opened in 2015.

Expendable Resources to Debt Ratio - UTHSC-Houston's expendable resources to debt ratio increased from 2.4 in 2014 to 2.5 in 2015. The increase in this ratio was attributable to a \$17.2 million decrease in the amount of debt outstanding.

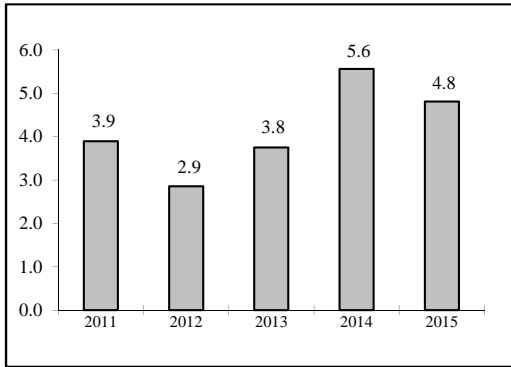
Debt Burden Ratio - UTHSC-Houston's debt burden ratio decreased from 2.4% in 2014 to 2.1% in 2015 as a result of the increase in total operating expenses, as previously discussed.

Debt Service Coverage Ratio - UTHSC-Houston's debt service coverage ratio increased from 3.1 in 2014 to 3.3 in 2015. The increase in this ratio was generated by the improvement in operating performance, as discussed above, combined with relatively stable debt service payments.

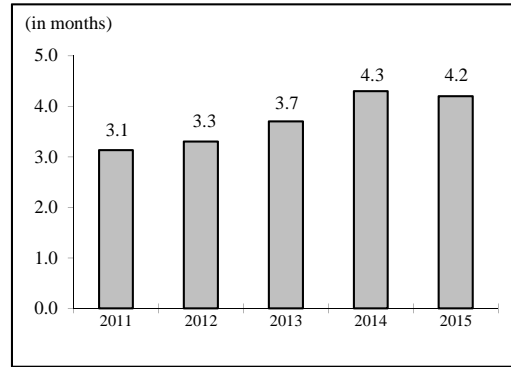
**The University of Texas Health Science Center at San Antonio
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

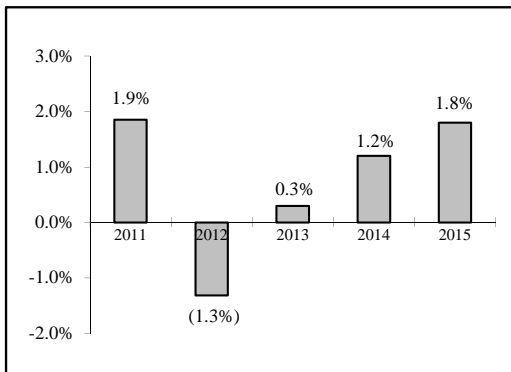
Composite Financial Index



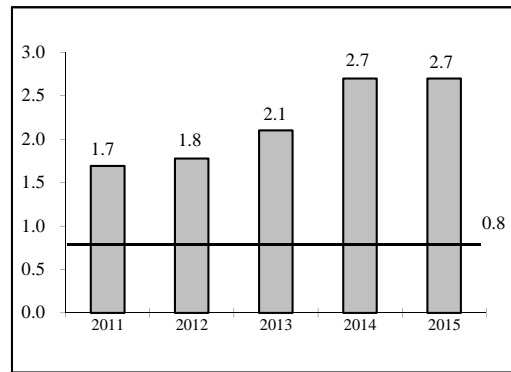
Operating Expense Coverage Ratio



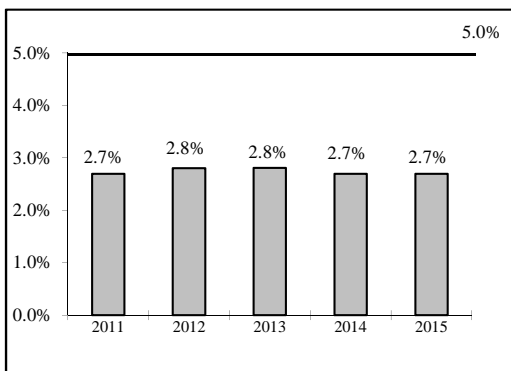
Annual Operating Margin Ratio



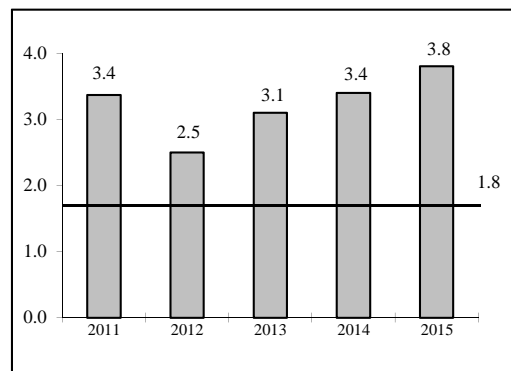
Expendable Resources to Debt Ratio



Debt Burden Ratio



Debt Service Coverage Ratio



**The University of Texas Health Science Center at San Antonio
2015 Summary of Financial Condition**

Composite Financial Index (CFI) - U. T. Health Science Center - San Antonio's (UTHSC-San Antonio) CFI decreased from 5.6 in 2014 to 4.8 in 2015 as a result of a decrease in the return on net position ratio. The decrease in the return on net position ratio was primarily driven by a net decrease in the fair value of investments of (\$41.6) million in 2015 as compared to a net increase in the fair value of investments of \$62.5 million for a net change between years of (\$104.2) million.

Operating Expense Coverage Ratio - UTHSC-San Antonio's operating expense coverage ratio decreased slightly from 4.3 months in 2014 to 4.2 months in 2015 as the increase in total unrestricted net position of \$5.6 million, which included an increase in total operating expenses of \$25.8 million discussed in the annual operating margin ratio, was impacted by an \$18.9 million net decrease in the fair value of investments allocated to designated funds. The growth in total unrestricted net position was primarily attributable to clinical activities in designated funds.

Annual Operating Margin Ratio - UTHSC-San Antonio's annual operating margin ratio increased from 1.2% for 2014 to 1.8% for 2015 as a result of the growth in total operating revenues of \$30.7 million exceeding the growth in total operating expenses of \$25.8 million. The increase in total operating revenues was primarily due to the following: an \$11.2 million increase in net professional fees resulting largely from a continued strategic focus on the *Patient First* initiative targeted at applying productivity standards and process improvement ideas to enhance clinical performance; a \$9.5 million increase in other operating revenues driven by a \$9.7 million increase in Delivery System Reform Incentive Payments associated with the Medicaid Section 1115 Demonstration projects; a \$9.0 million net increase in sponsored programs revenue primarily attributable to increases in clinical contracts with University Health System and other healthcare affiliates combined with increases in state pass-throughs from the Texas Higher Education Coordinating Board and other state funding entities such as Cancer Prevention and Research Institute of Texas; a \$2.8 million increase in net tuition and fees due to approved rate increases; and a \$2.5 million increase in state appropriations for staff benefits. Offsetting these revenue increases were declines in gifts for operations of \$3.2 million as philanthropic efforts were focused on capital projects for 2015. The increase in total operating expenses was primarily due to a \$25.6 million increase in salaries and wages and payroll related costs attributable to merit increases, faculty performance-based compensation plans and recruitment efforts predominately in the physician practice plan associated with incremental clinic contracts.

Expendable Resources to Debt Ratio - UTHSC-San Antonio's expendable resources to debt ratio remained unchanged at 2.7 in 2015. The stability of this ratio was attributable to a \$4.3 million decrease in the amount of debt outstanding, which was offset by a decrease in total restricted expendable net position (excluding restricted expendable for capital projects) of \$15.5 million. The decrease in total restricted expendable net position was primarily due to the net decrease in the fair value of investments in the endowment funds.

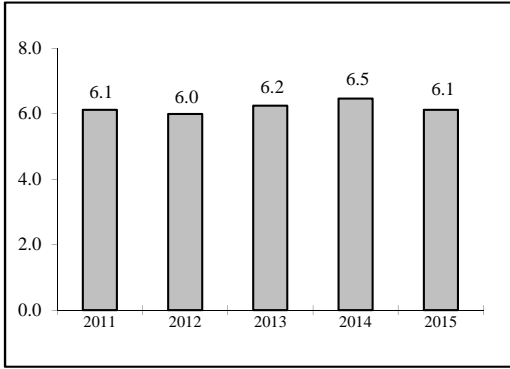
Debt Burden Ratio - UTHSC-San Antonio's debt burden ratio was 2.7% in 2014 and 2015. The small increase in debt service payments combined with the controlled growth of the operating expenses created the stability of this ratio.

Debt Service Coverage Ratio - UTHSC-San Antonio's debt service coverage ratio increased from 3.4 in 2014 to 3.8 in 2015 as a result of the improved operating performance as discussed in the annual operating margin ratio.

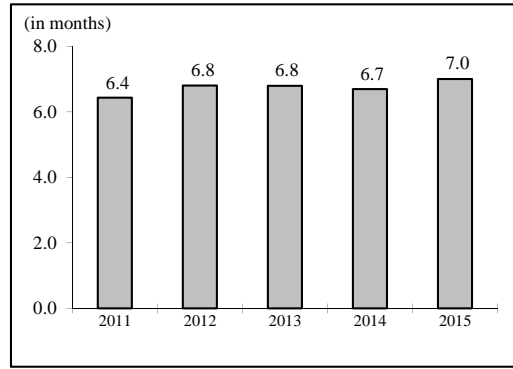
**The University of Texas M. D. Anderson Cancer Center
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

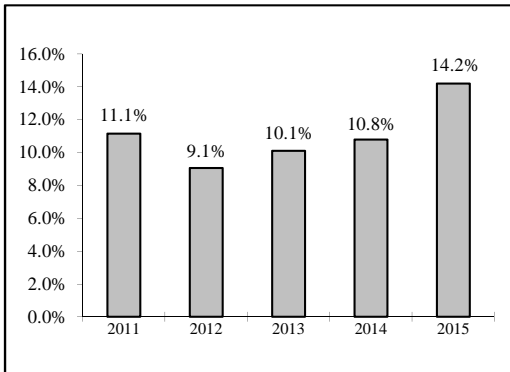
Composite Financial Index



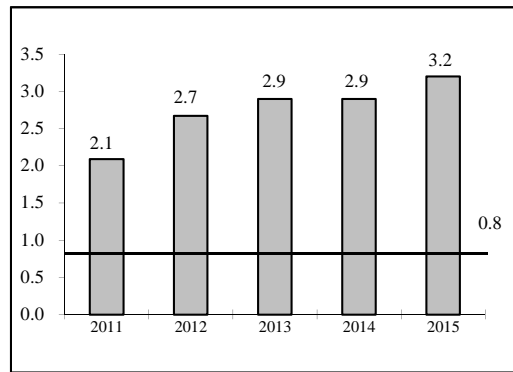
Operating Expense Coverage Ratio



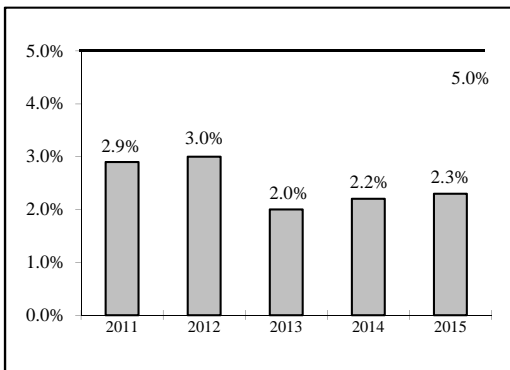
Annual Operating Margin Ratio



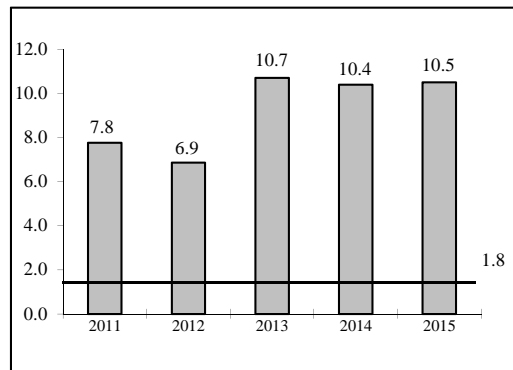
Expendable Resources to Debt Ratio



Debt Burden Ratio



Debt Service Coverage Ratio



**The University of Texas M. D. Anderson Cancer Center
2015 Summary of Financial Condition**

Composite Financial Index (CFI) - U. T. M. D. Anderson Cancer Center's (M. D. Anderson) CFI decreased from 6.5 in 2014 to 6.1 in 2015 due to a decrease in the return on net position ratio. The decline in the return on net position ratio was primarily driven by a net decrease in the fair value of investments of (\$164.3) million in 2015 as compared to a net increase in the fair value of investments in 2014 of \$204.4 million for a net change between years of (\$368.7) million.

Operating Expense Coverage Ratio - M. D. Anderson's operating expense coverage ratio increased from 6.7 months in 2014 to 7.0 months in 2015 due to the growth in total unrestricted net position of \$233.7 million. The increase in total unrestricted net position was due to a \$319.8 million increase in unexpended plant funds as a result of an increase in unrestricted funding for capital projects.

Annual Operating Margin Ratio - M. D. Anderson's annual operating margin ratio increased from 10.8% for 2014 to 14.2% for 2015 as a result of the growth in total operating revenues of \$451.5 million far exceeding the growth in total operating expenses (including interest expense) of \$243.7 million. The increase in total operating revenues was primarily due to the following: a \$286.0 million increase in net sales and services of hospitals resulting from increased patient volumes and fee increases; a \$161.4 million increase in net investment income (excluding realized gains and losses) largely attributable to shares of technology stocks in Ziopharm Oncology, Inc. and Intrexon Corporation received in consideration for licenses created by M. D. Anderson; a \$10.2 million increase in net professional fees due to increased patient activity and volumes; an \$8.1 million increase in other operating revenues as a result of an increase in international patient services and increased consulting contracts; and an \$8.1 million increase in sponsored programs revenue primarily due to an increase in funding awarded to M. D. Anderson from the Cancer Prevention Research Institute. The increase in total operating expenses was largely attributable to the following: a \$145.9 million increase in salaries and wages and payroll related costs as a result of a 4.0% merit increase, as well as the growth in clinical providers and appropriate staffing of clinical care teams for the new patient care facilities; a \$44.5 million increase in materials and supplies mostly due to increased demand related to pharmaceuticals and patient supplies; a \$23.0 million increase in other contracted services resulting from increased advertising expenses, temporary staff related to the Professional Coding Project, and laboratory and animal maintenance expenses for the Genomic Medical Research and Applied Cancer Science Institute; a \$10.4 million increase in repairs and maintenance attributable to increased repairs and maintenance for buildings, equipment, computer hardware and software repairs and maintenance projects; a \$3.6 million increase in travel as a result of travel reimbursements for international travel and various other divisions; a \$2.7 million increase in cost of goods sold related to the Children's Art Project, as well as a physical inventory adjustment; and a \$1.2 million increase in communications due to increased contracts for data services and tele-paging services with Texas multiple award schedule contracts and other service contracts with Premier Purchasing Partners.

Expendable Resources to Debt Ratio - M. D. Anderson's expendable resources to debt ratio increased from 2.9 in 2014 to 3.2 in 2015. The increase in this ratio was mostly attributable to the growth in total unrestricted net position of \$233.7 million, as discussed above, combined with a decrease of \$12.3 million in the amount of debt outstanding.

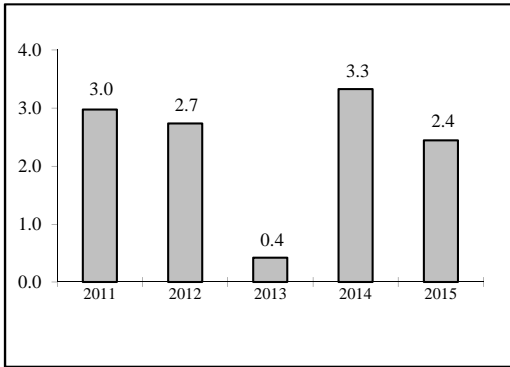
Debt Burden Ratio - M. D. Anderson's debt burden ratio increased from 2.2% in 2014 to 2.3% in 2015 as a result of an increase of \$8.3 million in debt service payments.

Debt Service Coverage Ratio - M. D. Anderson's debt service coverage ratio increased from 10.4 in 2014 to 10.5 in 2015. The increase in this ratio was generated from the increase in operating performance, as discussed in the annual operating margin ratio, which was partially offset by the increase in debt service payments.

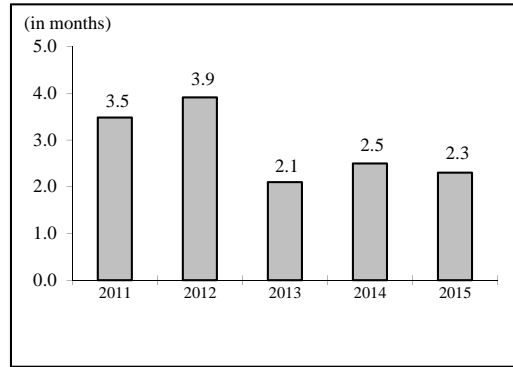
**The University of Texas Health Science Center at Tyler
2015 Summary of Financial Condition**

Financial Condition: **Satisfactory**

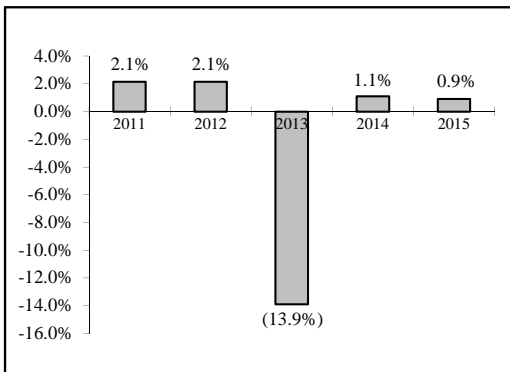
Composite Financial Index



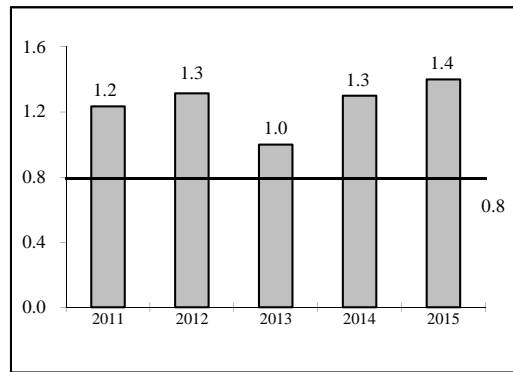
Operating Expense Coverage Ratio



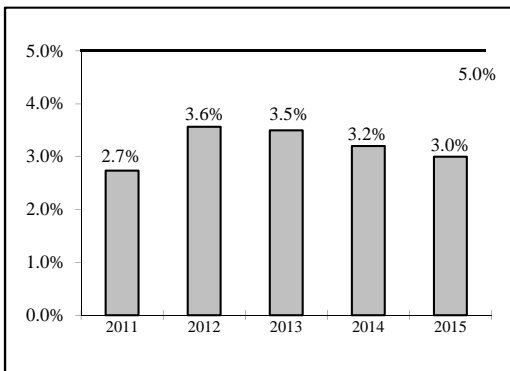
Annual Operating Margin Ratio



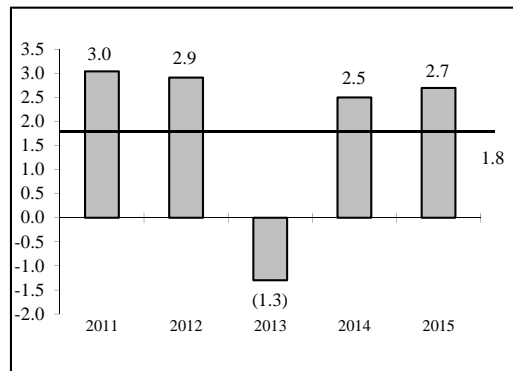
Expendable Resources to Debt Ratio



Debt Burden Ratio



Debt Service Coverage Ratio



**The University of Texas Health Science Center at Tyler
2015 Summary of Financial Condition**

Composite Financial Index (CFI) - U. T. Health Science Center - Tyler's (UTHSC-Tyler) CFI decreased from 3.3 in 2014 to 2.4 in 2015 primarily due to a decrease in the return on net position ratio. The decrease in the return on net position ratio was largely driven by the following: a net decrease in the fair value of investments of (\$3.4) million in 2015 as compared to a net increase of \$4.5 million in 2014 for a net change between years of (\$7.9) million; a smaller change in anticipated proceeds of \$5.3 million in 2015 as compared to \$9.4 million in 2014; and less bond proceeds transferred to UTHSC-Tyler in 2015.

Operating Expense Coverage Ratio - UTHSC-Tyler's operating expense coverage ratio decreased from 2.5 months in 2014 to 2.3 months in 2015 due to the increase in total operating expenses (including interest expense) of \$13.4 million. The increase in total operating expenses was primarily attributable to the following: a \$12.6 million increase in salaries and wages and payroll related costs as a result of physicians and staff hired for the behavioral health program, additional employees hired for Delivery System Reform Incentive Payments (DSRIP) related projects, new residents for Good Shepherd Medical Center (GSMC), and new Family Medicine physicians; and a \$0.9 million increase in depreciation and amortization expense attributable to several of the Behavioral Health remodeling projects which were completed and began depreciating in April 2015.

Annual Operating Margin Ratio - UTHSC-Tyler's annual operating margin ratio decreased from 1.1% for 2014 to 0.9% for 2015 due to the growth in total operating expenses of \$13.4 million, as discussed above, outpacing the growth in total operating revenues of \$13.2 million. The increase in total operating revenues was driven by the following: an \$11.1 million increase in sponsored programs revenue primarily resulting from an increase in the Behavioral Health contract with the Texas Department of State Health Services, as well as an increase in the GSMC medical residents' contract and an increase in the Trinity Intensive Care Unit and Pulmonary contract; a \$3.9 million increase in other operating revenues due to a \$2.5 million increase in DSRIP revenue recognized as compared to the prior year combined with an increase of \$1.8 million in incentive payments over the prior year; and a \$1.2 million increase in gifts for operations as a result of a large gift received in 2015.

While UTHSC-Tyler's annual operating margin remained positive in 2015, it is important to note the sizeable impact net DSRIP revenue had on UTHSC-Tyler's operating results. UTHSC-Tyler recognized \$17.9 million of net DSRIP revenue as compared to \$15.4 million in 2014. If the net DSRIP revenue had not been recognized in 2015, then UTHSC-Tyler's annual operating margin would have been (\$16.4) million or (11.3%).

Expendable Resources to Debt Ratio - UTHSC-Tyler's expendable resources to debt ratio increased from 1.3 in 2014 to 1.4 in 2015. The increase in this ratio was attributable to a decrease of \$3.8 million in the amount of debt outstanding.

Debt Burden Ratio - UTHSC-Tyler's debt burden ratio decreased from 3.2% in 2014 to 3.0% in 2015 due to relatively stable debt service payments combined with the increase in total operating expenses, as previously discussed.

Debt Service Coverage Ratio - UTHSC-Tyler's debt service coverage ratio increased from 2.5 in 2014 to 2.7 in 2015. The increase in this ratio resulted from the increase in depreciation expense which is excluded from the calculation of this ratio.

Appendix A - Definitions of Evaluation Factors

- Composite Financial Index (CFI)** – The CFI measures the overall financial health of an institution by combining four core ratios into a single score. The four core ratios used to compute the CFI are as follows: primary reserve ratio, expendable resources to debt ratio, return on net position ratio, and annual operating margin ratio.

<u>Core Ratio Values</u>		<u>Conversion Factor</u>	=	<u>Strength Factor</u>	x	<u>Weighting Factor</u>	=	<u>Score</u>	
Primary Reserve	/	0.133	=	Strength Factor	x	35.0%	=	Score	
Annual Operating Margin	/	1.3%	=	Strength Factor	x	10.0%	=	Score	
Return on Net Position	/	2.0%	=	Strength Factor	x	20.0%	=	Score	
Expendable Resources to Debt	/	0.417	=	Strength Factor	x	35.0%	=	Score	
							CFI	=	<u>Total Score</u>

- Operating Expense Coverage Ratio** – This ratio measures an institution’s ability to cover future operating expenses with available year-end balances. This ratio is expressed in number of months coverage.

$$\frac{\text{Total Unrestricted Net Position}}{\text{Total Operating Expenses} + \text{Interest Expense on Debt}} * 12$$

- Annual Operating Margin Ratio** – This ratio indicates whether an institution is living within its available resources.

$$\frac{\text{Op Rev+GR+Op Gifts+NonexchSP+Inv Inc+RAHC\&AUF Trans+NSERB Appr+HEAF for Op Exp}-\text{Op Exp \& Int Exp}}{\text{Op Rev+GR+Op Gifts+NonexchSP+Inv Inc+RAHC\&AUF Trans+NSERB Approp+HEAF for Op Exp}}$$

- Expendable Resources to Debt Ratio** – This ratio measures an institution’s ability to fund outstanding debt with existing net position balances should an emergency occur. Debt capacity thresholds are provided by the Office of Finance and are based on formulas used by Moody’s Investors Service. An institution’s debt capacity is largely determined by its ability to meet at least two of three minimum standards for debt service coverage, debt burden, and expendable resources to debt. According to *Strategic Financial Analysis for Higher Education*, Seventh Edition, the amount of restricted expendable net position that will be invested in plant should be excluded in the calculation of this ratio. Therefore, beginning in 2013 the amount of restricted expendable for capital projects is excluded from the numerator. The minimum expendable resources to debt ratio is 0.8 times.

$$\frac{\text{Restricted Expendable Net Position (excluding expendable for capital projects)} + \text{Unrestricted Net Position}}{\text{Debt not on Institution’s Books}}$$

- Debt Burden Ratio** – This ratio examines the institution’s dependence on borrowed funds as a source of financing and the cost of borrowing relative to overall expenses. Debt capacity thresholds are provided by the Office of Finance and are based on formulas used by Moody’s Investors Service. An institution’s debt capacity is largely determined by its ability to meet at least two of three minimum standards for debt service coverage, debt burden, and expendable resources to debt. The maximum debt burden ratio is 5.0%.

$$\frac{\text{Debt Service Transfers}}{\text{Operating Exp. (excluding Scholarships Exp.)} + \text{Interest Exp.}}$$

Appendix A - Definitions of Evaluation Factors (Continued)

6. **Debt Service Coverage Ratio** – This ratio measures the actual margin of protection provided to investors by annual operations. Moody’s excludes actual investment income from its calculation of total operating revenue and instead uses a normalized investment income. Moody’s applies 5% of the average of the previous three years’ market value of cash and investments to compute normalized investment income. In order to be consistent with the Office of Finance’s calculation of the debt service coverage ratio, normalized investment income as defined above is used for the calculation of this ratio only. Debt capacity thresholds are provided by the Office of Finance and are based on formulas used by Moody’s Investors Service. An institution’s debt capacity is largely determined by its ability to meet at least two of three minimum standards for debt service coverage, debt burden, and expendable resources to debt. The minimum debt service coverage ratio is 1.8 times.

$$\frac{\text{Op Rev+GR+Op Gifts+NonexchSP+Norm Inv Inc+RAHC\&AUF Trans+NSERB+Total HEAF-Op Exp+Depr}}{\text{Debt Service Transfers}}$$

7. **Primary Reserve Ratio** - This ratio measures the financial strength of an institution by comparing expendable net position to total expenses. This ratio provides a snapshot of financial strength and flexibility by indicating how long the institution could function using its expendable reserves without relying on additional net position generated by operations. According to *Strategic Financial Analysis for Higher Education*, Seventh Edition, the amount of restricted expendable net position that will be invested in plant should be excluded in the calculation of this ratio. Therefore, beginning in 2013 the amount of restricted expendable for capital projects is excluded from the numerator.

$$\frac{\text{Expendable Net Position (excluding expendable for capital projects) + Unrestricted Net Position}}{\text{Total Operating Expenses + Interest Expense on Debt}}$$

8. **Return on Net Position Ratio** – This ratio determines whether the institution is financially better off than in previous years by measuring total economic return. An improving trend indicates that the institution is increasing its net position and is likely to be able to set aside financial resources to strengthen its future financial flexibility.

$$\frac{\text{Change in Net Position (Adjusted for Change in Debt not on Institution’s Books)}}{\text{Beginning Net Position – Debt not on Institution’s Books}}$$

9. **Full-Time Equivalent (FTE) Student Enrollment** - Total semester credit hours taken by students during the fall semester, divided by factors of 15 for undergraduate students, 12 for graduate and special professional students, and 9 for doctoral students to arrive at the full-time equivalent (FTE) students represented by the course hours taken.

Appendix A - Definitions of Evaluation Factors (Continued)

The categories, which are utilized to indicate the assessment of an institution's financial condition, are "Satisfactory," "Watch," and "Unsatisfactory." In most cases the rating is based upon the trends of the financial ratios unless isolated financial difficulties in particular areas are material enough to threaten the overall financial results.

Satisfactory – an institution assigned this assessment exhibits a general history of relatively stable or increasing financial ratios. The CFI remains relatively stable within the trend period. However, the CFI can fluctuate depending upon the underlying factors contributing to the fluctuation with respect to the overall mission of an institution. The CFI must be analyzed in conjunction with the trends in the other ratios analyzed. The operating expense coverage ratio should be at or above a two-month benchmark and should be stable or improving. The annual operating margin ratio could be both positive and negative during the trend period due to nonrecurring items. Some of these items include unexpected reductions in external sources of income, such as state appropriations, gifts and investment income, all of which are unpredictable and subject to economic conditions. The Office of Finance uses the expendable resources to debt ratio, debt burden ratio, and debt service coverage ratio, which are the same ratios the bond rating agencies calculate for the System. Trends in these ratios can help determine if an institution has additional debt capacity or has assumed more debt than it can afford to service. In general, an institution's expendable resources to debt and debt service coverage ratios should exceed the Office of Finance's standards of 0.8 times and 1.8 times, respectively, while the debt burden ratio should fall below the Office of Finance's standard of 5.0%. Full-time equivalent (FTE) student enrollment must be relatively stable or increasing. Isolated financial difficulties in particular areas may be evident, but must not be material enough to threaten the overall financial health of an institution.

Watch – an institution assigned this assessment exhibits a history of relatively unstable or declining financial ratios. The CFI is less stable and/or the fluctuations are not expected given the mission of an institution. The operating expense coverage ratio can be at or above a two-month benchmark, but typically shows a declining trend. Annual operating margin ratio is negative or near break-even during the trend period due to recurring items, material operating difficulties or uncertainties caused by either internal management decisions or external factors. Trends in the expendable resources to debt ratio, debt burden ratio, and debt service coverage ratio can help determine if an institution has additional debt capacity or has assumed more debt than it can afford to service. FTE student enrollment can be stable or declining, depending upon competitive alternatives or recruitment and retention efforts. Isolated financial difficulties in particular areas may be evident and can be material enough to threaten the overall financial health of an institution.

Unsatisfactory – an institution assigned this assessment exhibits a history of relatively unstable financial ratios. The CFI is very volatile and does not support the mission of an institution. The operating expense coverage ratio may be below a two-month benchmark and shows a declining trend. The annual operating margin ratio is predominately volatile or negative during the trend period due to material operating difficulties or uncertainties caused by either internal management decisions or external factors. Trends in the expendable resources to debt ratio, debt burden ratio, and debt service coverage ratio can help determine if an institution has additional debt capacity or has assumed more debt than it can afford to service. The FTE student enrollment can be stable or declining, depending upon competitive alternatives or recruitment and retention efforts. Widespread financial difficulties in key areas are evident and are material enough to further threaten the overall financial health of an institution. For institutions rated "Unsatisfactory," the Chancellor and the appropriate Executive Vice Chancellors will request the institutions to develop a specific financial plan of action to improve the institution's financial condition. By policy, institutions rated "Unsatisfactory" are not permitted to invest in the Intermediate Term Fund. Progress towards the achievement of the plans will be periodically discussed with the Chief Business Officer and President, and representatives from the System Offices of Business, Academic, and/or Health Affairs, as appropriate.

**Appendix B - Calculation of Composite Financial Index
Academic Institutions
As of August 31, 2015**

U. T. Arlington						
<u>Ratio</u>	<u>Ratio Value</u>	<u>Conversion Factor</u>	<u>Strength Factor</u>	<u>Weighting Factor</u>	<u>Score</u>	
Primary Reserve	0.60 /	0.133 =	4.51 x	35.0% =	1.58	
Annual Operating Margin	5.50% /	1.3% =	4.23 x	10.0% =	0.42	
Return on Net Position	2.10% /	2.0% =	1.05 x	20.0% =	0.21	
Expendable Resources to Debt	1.10 /	0.417 =	2.64 x	35.0% =	0.92	
				CFI	<u>3.1</u>	
U. T. Austin						
<u>Ratio</u>	<u>Ratio Value</u>	<u>Conversion Factor</u>	<u>Strength Factor</u>	<u>Weighting Factor</u>	<u>Score</u>	
Primary Reserve	1.30 /	0.133 =	9.77 x	35.0% =	3.42	
Annual Operating Margin	5.80% /	1.3% =	4.46 x	10.0% =	0.45	
Return on Net Position	1.20% /	2.0% =	0.60 x	20.0% =	0.12	
Expendable Resources to Debt	2.40 /	0.417 =	5.76 x	35.0% =	2.01	
				CFI	<u>6.0</u>	
U. T. Brownsville						
<u>Ratio</u>	<u>Ratio Value</u>	<u>Conversion Factor</u>	<u>Strength Factor</u>	<u>Weighting Factor</u>	<u>Score</u>	
Primary Reserve	0.30 /	0.133 =	2.26 x	35.0% =	0.79	
Annual Operating Margin	-14.30% /	1.3% =	-11.00 x	10.0% =	-1.10	
Return on Net Position	-7.80% /	2.0% =	-3.90 x	20.0% =	-0.78	
Expendable Resources to Debt	0.60 /	0.417 =	1.44 x	35.0% =	0.50	
				CFI	<u>-0.6</u>	
U. T. Dallas						
<u>Ratio</u>	<u>Ratio Value</u>	<u>Conversion Factor</u>	<u>Strength Factor</u>	<u>Weighting Factor</u>	<u>Score</u>	
Primary Reserve	0.60 /	0.133 =	4.51 x	35.0% =	1.58	
Annual Operating Margin	-1.50% /	1.3% =	-1.15 x	10.0% =	-0.12	
Return on Net Position	5.20% /	2.0% =	2.60 x	20.0% =	0.52	
Expendable Resources to Debt	0.60 /	0.417 =	1.44 x	35.0% =	0.50	
				CFI	<u>2.5</u>	
U. T. El Paso						
<u>Ratio</u>	<u>Ratio Value</u>	<u>Conversion Factor</u>	<u>Strength Factor</u>	<u>Weighting Factor</u>	<u>Score</u>	
Primary Reserve	0.50 /	0.133 =	3.76 x	35.0% =	1.32	
Annual Operating Margin	-2.40% /	1.3% =	-1.85 x	10.0% =	-0.18	
Return on Net Position	-3.80% /	2.0% =	-1.90 x	20.0% =	-0.38	
Expendable Resources to Debt	0.90 /	0.417 =	2.16 x	35.0% =	0.76	
				CFI	<u>1.5</u>	

Appendix B - Calculation of Composite Financial Index
Academic Institutions
As of August 31, 2015
(continued)

U. T. Pan American

Ratio	Ratio Value	Conversion Factor	Strength Factor	Weighting Factor	Score
Primary Reserve	0.40 /	0.133 =	3.01 x	35.0% =	1.05
Annual Operating Margin	-4.90% /	1.3% =	-3.77 x	10.0% =	-0.38
Return on Net Position	-0.10% /	2.0% =	-0.05 x	20.0% =	-0.01
Expendable Resources to Debt	1.20 /	0.417 =	2.88 x	35.0% =	1.01
				CFI	<u>1.7</u>

U. T. Permian Basin

Ratio	Ratio Value	Conversion Factor	Strength Factor	Weighting Factor	Score
Primary Reserve	0.40 /	0.133 =	3.01 x	35.0% =	1.05
Annual Operating Margin	-7.60% /	1.3% =	-5.85 x	10.0% =	-0.58
Return on Net Position	-3.10% /	2.0% =	-1.55 x	20.0% =	-0.31
Expendable Resources to Debt	0.30 /	0.417 =	0.72 x	35.0% =	0.25
				CFI	<u>0.4</u>

U. T. San Antonio

Ratio	Ratio Value	Conversion Factor	Strength Factor	Weighting Factor	Score
Primary Reserve	0.60 /	0.133 =	4.51 x	35.0% =	1.58
Annual Operating Margin	3.80% /	1.3% =	2.92 x	10.0% =	0.29
Return on Net Position	0.50% /	2.0% =	0.25 x	20.0% =	0.05
Expendable Resources to Debt	1.00 /	0.417 =	2.40 x	35.0% =	0.84
				CFI	<u>2.8</u>

U. T. Tyler

Ratio	Ratio Value	Conversion Factor	Strength Factor	Weighting Factor	Score
Primary Reserve	0.70 /	0.133 =	5.26 x	35.0% =	1.84
Annual Operating Margin	-9.50% /	1.3% =	-7.31 x	10.0% =	-0.73
Return on Net Position	-6.20% /	2.0% =	-3.10 x	20.0% =	-0.62
Expendable Resources to Debt	0.80 /	0.417 =	1.92 x	35.0% =	0.67
				CFI	<u>1.2</u>

**Appendix B - Calculation of Composite Financial Index
Health Institutions
As of August 31, 2015**

Southwestern					
Ratio	Ratio Value	Conversion Factor	Strength Factor	Weighting Factor	Score
Primary Reserve	0.80	/ 0.133	= 6.02	x 35.0%	= 2.11
Annual Operating Margin	7.20%	/ 1.3%	= 5.54	x 10.0%	= 0.55
Return on Net Position	2.90%	/ 2.0%	= 1.45	x 20.0%	= 0.29
Expendable Resources to Debt	2.00	/ 0.417	= 4.80	x 35.0%	= 1.68
				CFI	<u>4.6</u>
UTMB					
Ratio	Ratio Value	Conversion Factor	Strength Factor	Weighting Factor	Score
Primary Reserve	0.30	/ 0.133	= 2.26	x 35.0%	= 0.79
Annual Operating Margin	0.30%	/ 1.3%	= 0.23	x 10.0%	= 0.02
Return on Net Position	3.20%	/ 2.0%	= 1.60	x 20.0%	= 0.32
Expendable Resources to Debt	0.90	/ 0.417	= 2.16	x 35.0%	= 0.76
				CFI	<u>1.9</u>
UTHSC-Houston					
Ratio	Ratio Value	Conversion Factor	Strength Factor	Weighting Factor	Score
Primary Reserve	0.50	/ 0.133	= 3.76	x 35.0%	= 1.32
Annual Operating Margin	1.40%	/ 1.3%	= 1.08	x 10.0%	= 0.11
Return on Net Position	-0.70%	/ 2.0%	= -0.35	x 20.0%	= -0.07
Expendable Resources to Debt	2.50	/ 0.417	= 6.00	x 35.0%	= 2.10
				CFI	<u>3.5</u>
UTHSC-San Antonio					
Ratio	Ratio Value	Conversion Factor	Strength Factor	Weighting Factor	Score
Primary Reserve	0.70	/ 0.133	= 5.26	x 35.0%	= 1.84
Annual Operating Margin	1.80%	/ 1.3%	= 1.38	x 10.0%	= 0.14
Return on Net Position	5.60%	/ 2.0%	= 2.80	x 20.0%	= 0.56
Expendable Resources to Debt	2.70	/ 0.417	= 6.47	x 35.0%	= 2.27
				CFI	<u>4.8</u>
M. D. Anderson					
Ratio	Ratio Value	Conversion Factor	Strength Factor	Weighting Factor	Score
Primary Reserve	0.70	/ 0.133	= 5.26	x 35.0%	= 1.84
Annual Operating Margin	14.20%	/ 1.3%	= 10.92	x 10.0%	= 1.09
Return on Net Position	5.00%	/ 2.0%	= 2.50	x 20.0%	= 0.50
Expendable Resources to Debt	3.20	/ 0.417	= 7.67	x 35.0%	= 2.69
				CFI	<u>6.1</u>
UTHSC-Tyler					
Ratio	Ratio Value	Conversion Factor	Strength Factor	Weighting Factor	Score
Primary Reserve	0.30	/ 0.133	= 2.26	x 35.0%	= 0.79
Annual Operating Margin	0.90%	/ 1.3%	= 0.69	x 10.0%	= 0.07
Return on Net Position	4.10%	/ 2.0%	= 2.05	x 20.0%	= 0.41
Expendable Resources to Debt	1.40	/ 0.417	= 3.36	x 35.0%	= 1.18
				CFI	<u>2.4</u>

**Appendix C - Calculation of Expendable Net Position
Academic Institutions
As of August 31, 2015
(In Millions)**

Institution	Restricted Expendable Net Position				Total Unrestricted Net Position	Total Expendable Net Position	Less: Restricted Exp for Cap. Projects	Total Exp. Net Position Excluding Cap. Projects
	Capital Projects	Funds Functioning Restricted	Other Expendable	Total				
U. T. Arlington	\$ 8.9	4.1	63.2	76.2	256.0	332.2	(8.9)	323.3
U. T. Austin	125.9	225.1	1,833.5	2,184.5	1,136.3	3,320.8	(125.9)	3,194.9
U. T. Brownsville	3.2	-	5.8	9.0	27.8	36.8	(3.2)	33.6
U. T. Dallas	3.0	23.1	189.8	215.9	136.6	352.5	(3.0)	349.5
U. T. El Paso	(0.6)	17.9	130.2	147.5	63.3	210.8	0.6	211.3
U. T. Pan American	3.5	1.2	19.7	24.4	80.3	104.7	(3.5)	101.3
U. T. Permian Basin	4.5	0.2	30.0	34.7	3.3	37.9	(4.5)	33.4
U. T. San Antonio	(0.2)	1.5	70.3	71.6	246.5	318.1	0.2	318.2
U. T. Tyler	7.7	1.6	48.4	57.8	37.3	95.1	(7.7)	87.4

**Appendix C - Calculation of Expendable Net Position
Health Institutions
As of August 31, 2015
(In Millions)**

Institution	Restricted Expendable Net Position				Total Unrestricted Net Position	Total Expendable Net Position	Less:	Total Exp. Net Position Excluding Cap. Projects
	Capital Projects	Funds Functioning Restricted	Other Expendable	Total			Restricted Exp for Cap. Projects	
Southwestern	\$ 12.9	29.4	912.6	954.8	1,005.5	1,960.3	(12.9)	1,947.4
UTMB	(35.2)	30.9	207.0	202.7	294.3	497.0	35.2	532.2
UTHSC-Houston	2.4	21.3	153.7	177.3	480.6	658.0	(2.4)	655.6
UTHSC-San Antonio	(4.0)	15.1	222.0	233.1	278.4	511.5	4.0	515.5
M. D. Anderson	172.0	65.1	553.4	790.5	2,314.5	3,104.9	(172.0)	2,933.0
UTHSC-Tyler	(2.5)	0.9	19.0	17.5	32.5	50.0	2.5	52.5

**Appendix D - Calculation of Annual Operating Margin
Academic Institutions
As of August 31, 2015
(In Millions)**

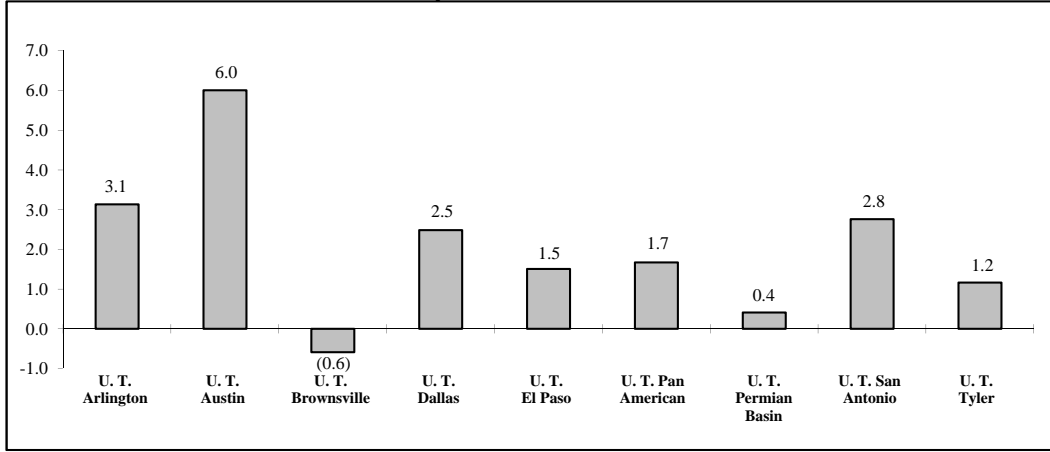
Institution	Income/(Loss) Before Other Rev., Exp., Gains/(Losses) & Transfers	Less: Nonoperating Items				Margin From SRECNA	Other Adjustments						Annual Operating Margin
		Other Nonop. Revenues	Other Nonop. Expenses	Gain/Loss on Sale of Cap. Assets	Net Increase/ (Decrease) in FV of Inv.		Minus:	Plus:	Plus:	Plus:	Plus:	Plus:	
							Realized Gains/ (Losses)	AUF Transfer	NSERB	TRIP & Other	HEAF for Op. Exp.	Interest Expense	
U. T. Arlington	\$ 21.1	-	(0.1)	(0.1)	(22.1)	43.4	-	-	-	-	-	(12.1)	31.3
U. T. Austin	(308.1)	9.9	(2.8)	(27.4)	(211.2)	(76.6)	(0.3)	268.3	-	-	-	(39.7)	152.3
U. T. Brownsville	(27.2)	-	-	-	(3.2)	(24.0)	0.1	-	-	6.1	5.4	(2.8)	(15.4)
U. T. Dallas	(18.7)	-	-	(0.3)	(18.2)	(0.2)	-	-	6.5	-	-	(14.5)	(8.2)
U. T. El Paso	(16.5)	0.1	0.3	(0.8)	(19.0)	2.8	5.3	-	-	-	-	(7.3)	(9.9)
U. T. Pan American	(18.6)	0.5	(0.1)	-	(8.9)	(10.1)	2.2	-	-	-	2.8	(3.4)	(12.9)
U. T. Permian Basin	(2.6)	0.2	-	-	(2.2)	(0.4)	-	-	-	-	-	(5.7)	(6.1)
U. T. San Antonio	10.6	0.6	(0.2)	(1.9)	(28.5)	40.6	6.1	-	-	-	-	(14.9)	19.5
U. T. Tyler	(13.5)	-	-	-	(5.8)	(7.7)	-	-	-	-	-	(3.7)	(11.1)

**Appendix D - Calculation of Annual Operating Margin
Health Institutions
As of August 31, 2015
(In Millions)**

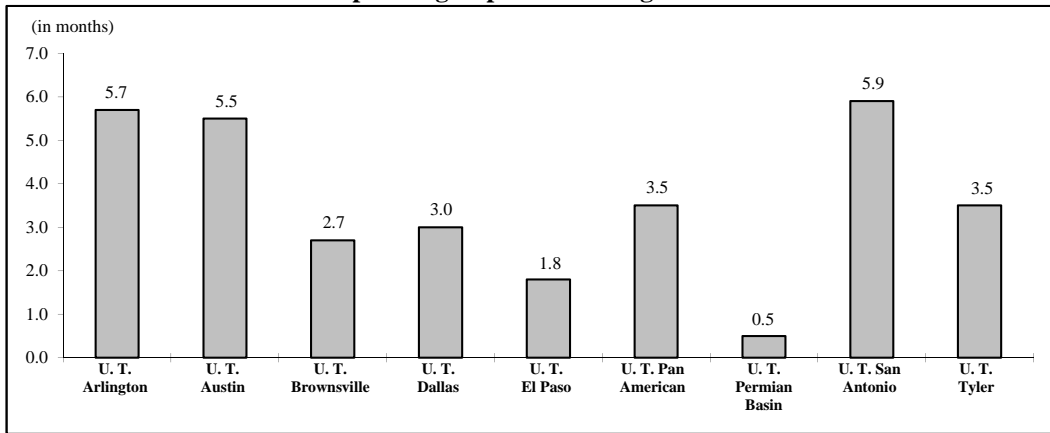
Institution	Income/(Loss) Before Other Rev., Exp., Gains/(Losses) & Transfers	Less: Nonoperating Items				Margin From SRECNA	Other Adjustments				Annual Operating Margin
		Other Nonop. Revenues	Other Nonop. Expenses	Gain/Loss on Sale of Cap. Assets	Net Increase/ (Decrease) in FV of Inv.		Minus: Realized Gains/ (Losses)	Plus: HB 2 Funding	Plus: RAHC Transfer	Plus: Interest Expense	
Southwestern	\$ 88.9	4.3	(1.5)	(4.5)	(138.3)	228.9	18.4	-	-	(28.5)	182.0
UTMB	(26.3)	0.2	0.1	(1.3)	(50.2)	24.9	5.2	(7.8)	-	(6.5)	5.4
UTHSC-Houston	(9.8)	-	-	(0.5)	(39.8)	30.5	0.7	-	0.6	(11.5)	18.8
UTHSC-San Antonio	(18.0)	-	-	(0.7)	(41.6)	24.4	1.9	-	0.6	(8.6)	14.5
M. D. Anderson	566.9	-	(0.1)	1.3	(164.3)	730.0	37.0	-	-	(35.0)	658.0
UTHSC-Tyler	(0.1)	-	-	-	(3.4)	3.3	0.4	-	-	(1.4)	1.5

**Appendix E - Academic Institutions' Evaluation Factors
2015 Analysis of Financial Condition**

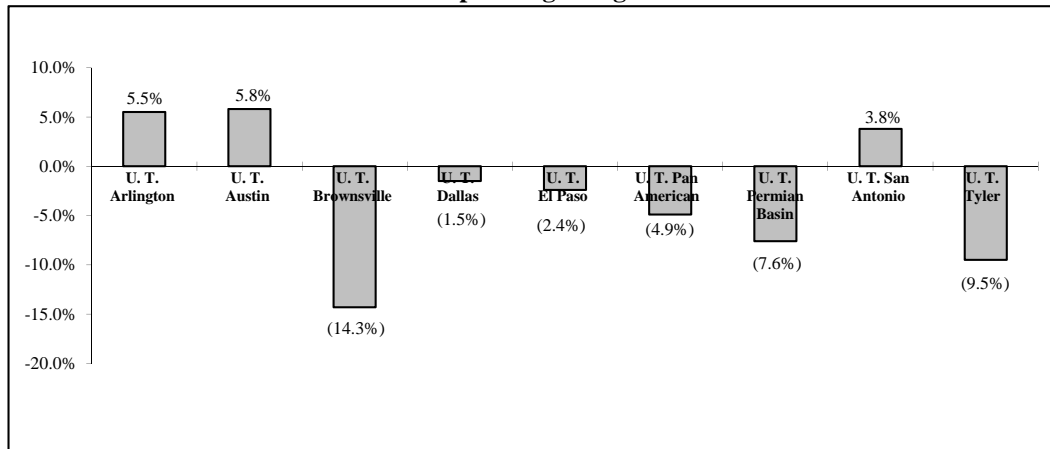
Composite Financial Index



Operating Expense Coverage Ratio

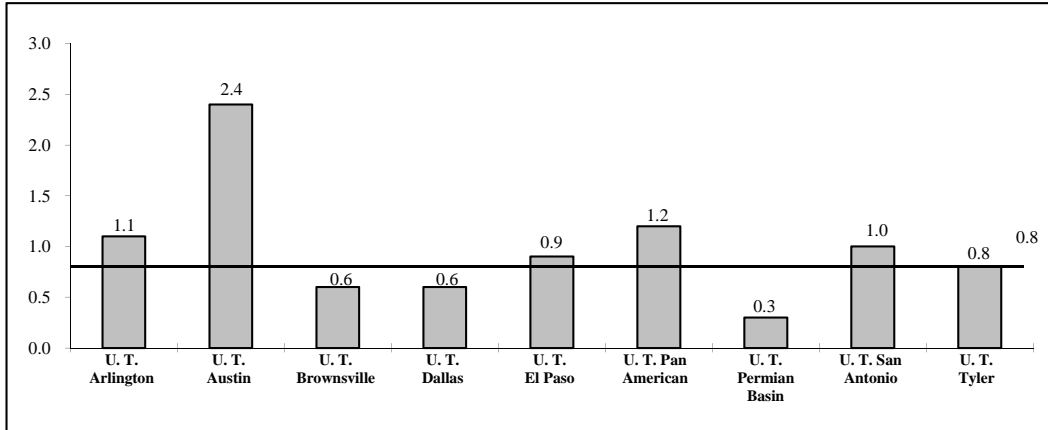


Annual Operating Margin Ratio

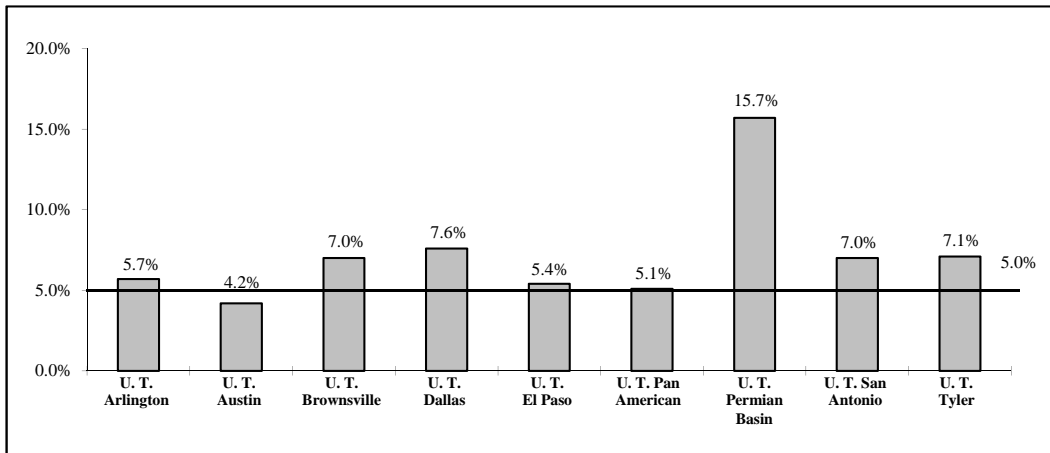


**Appendix E - Academic Institutions' Evaluation Factors
2015 Analysis of Financial Condition**

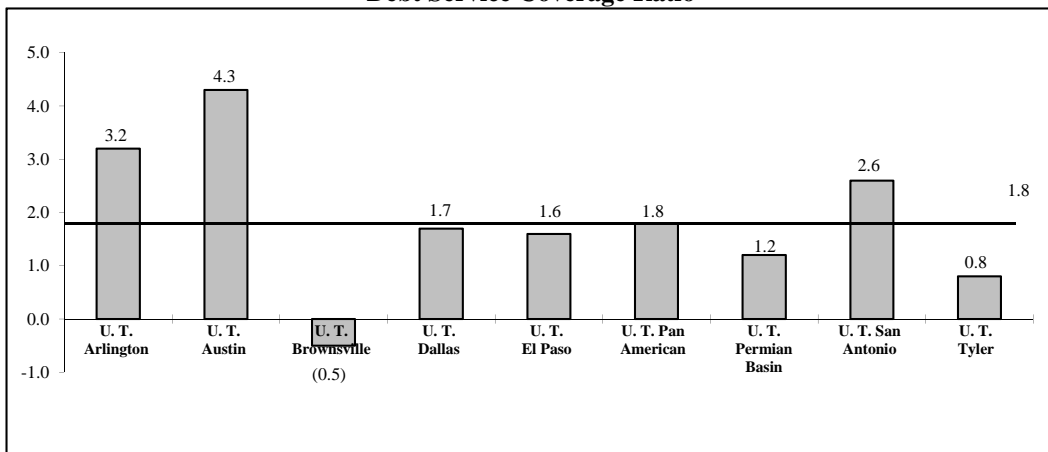
Expendable Resources to Debt Ratio



Debt Burden Ratio

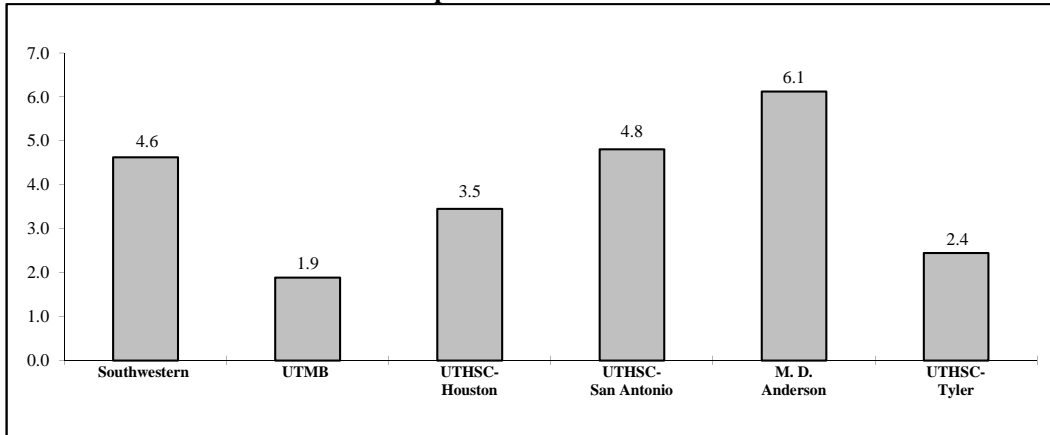


Debt Service Coverage Ratio

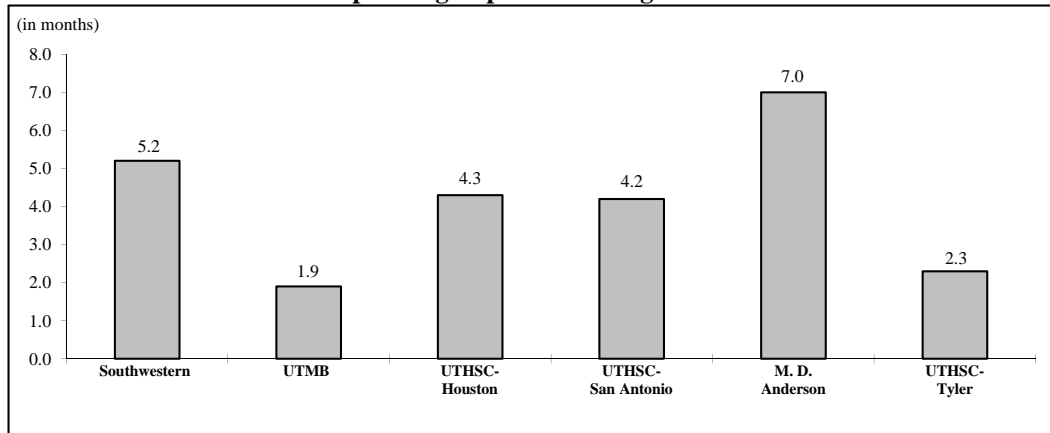


**Appendix E - Health Institutions' Evaluation Factors
2015 Analysis of Financial Condition**

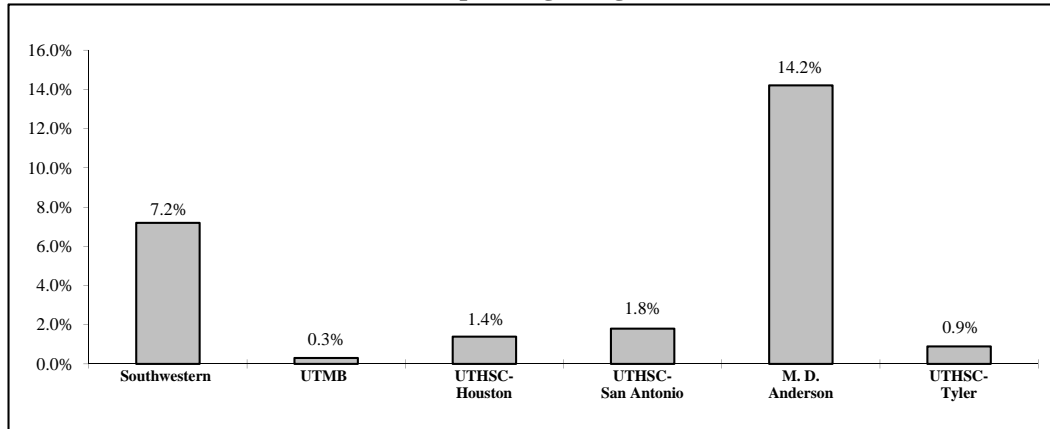
Composite Financial Index



Operating Expense Coverage Ratio

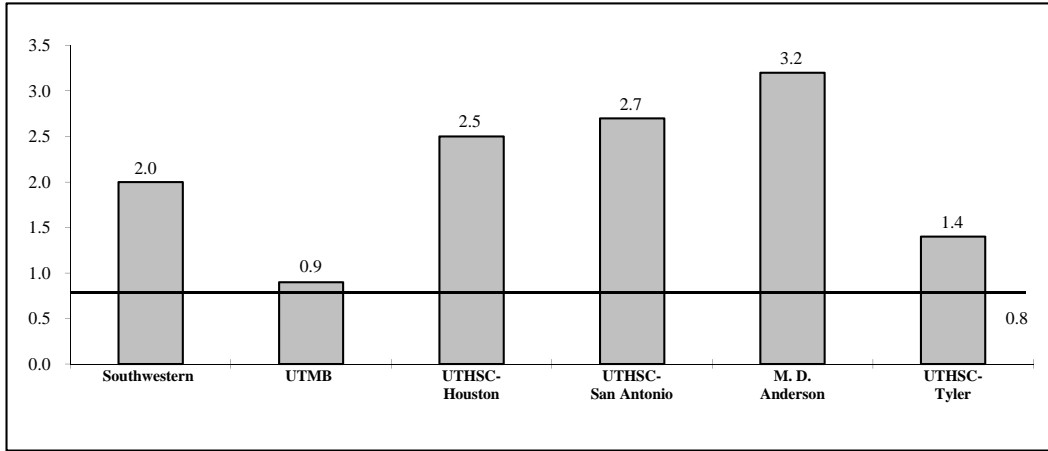


Annual Operating Margin Ratio

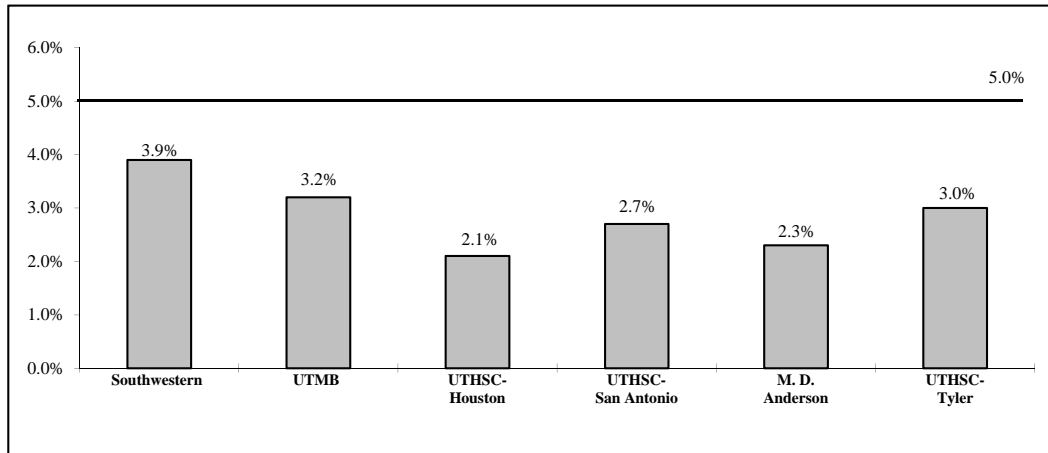


**Appendix E - Health Institutions' Evaluation Factors
2015 Analysis of Financial Condition**

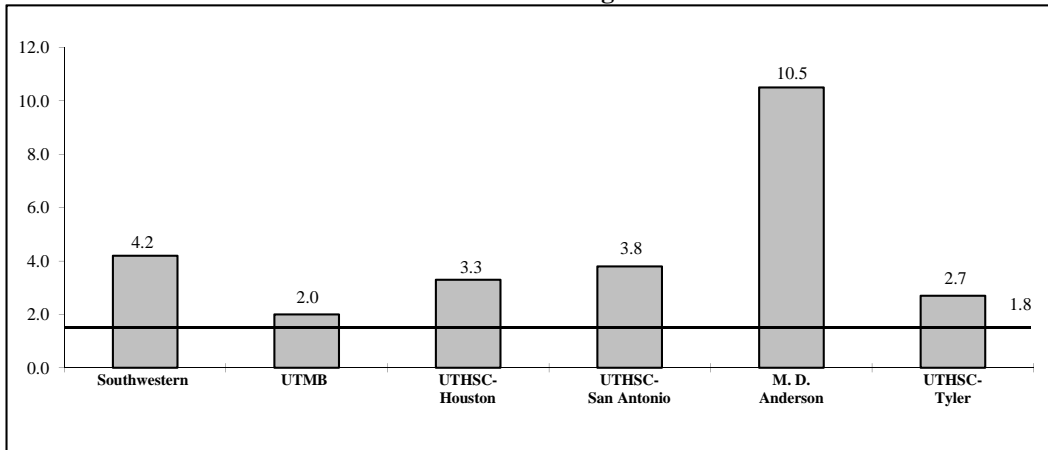
Expendable Resources to Debt Ratio



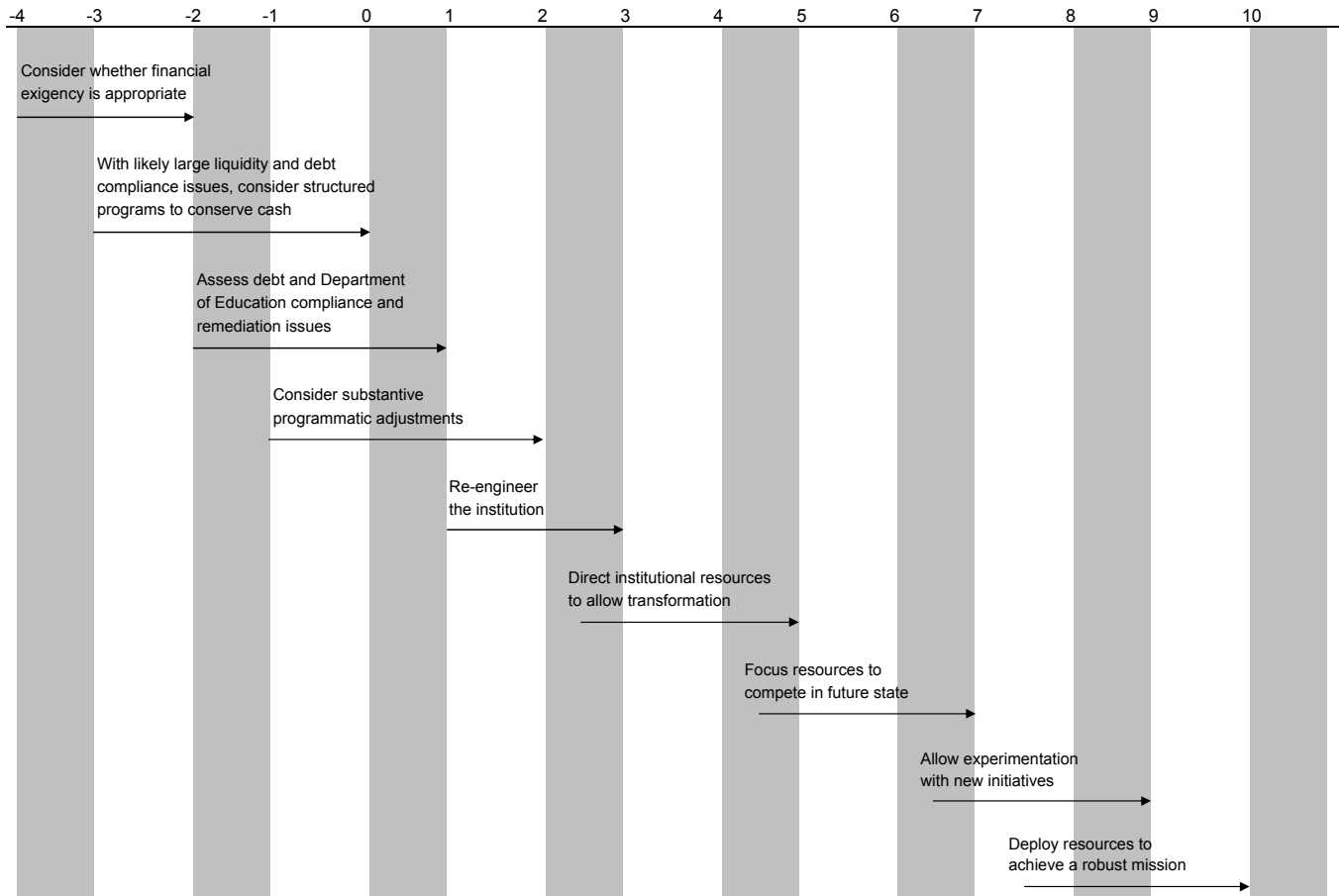
Debt Burden Ratio



Debt Service Coverage Ratio

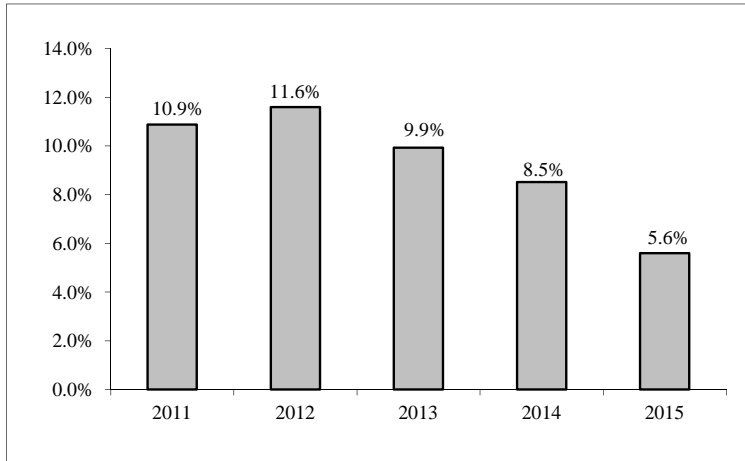


Appendix F - Scale for Charting CFI Performance



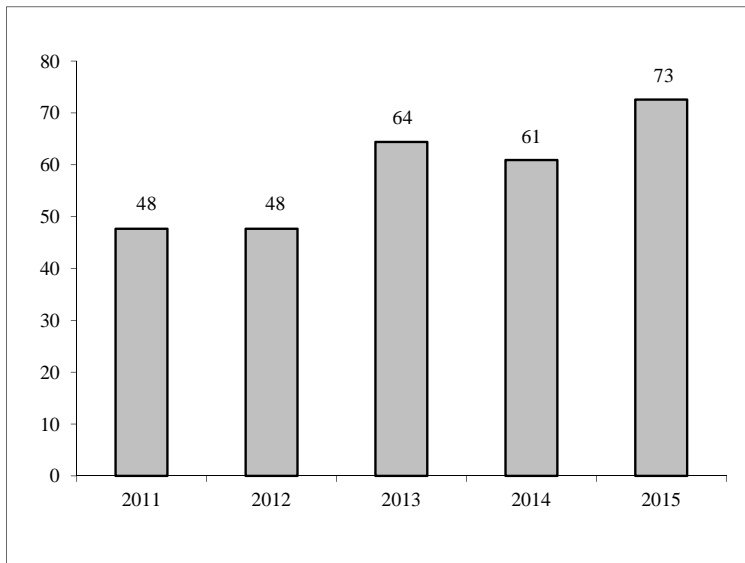
**Appendix G - Key Hospital Operating Factors
The University of Texas Southwestern Medical Center**

Annual Operating Margin Ratio



The annual operating margin ratio decreased from 8.5% for 2014 to 5.6% for 2015 as a result of the transition from St. Paul Hospital to the new William P. Clements University Hospital in December 2014. While volumes were much higher than anticipated, surgeries were limited just before and during the transition. In addition, salaries expense increased due to the costs associated with the training of personnel at William P. Clements University Hospital. The decline in the annual operating margin ratio was anticipated in the budget plan for 2015. The hospital performed well above the budgeted expectations.

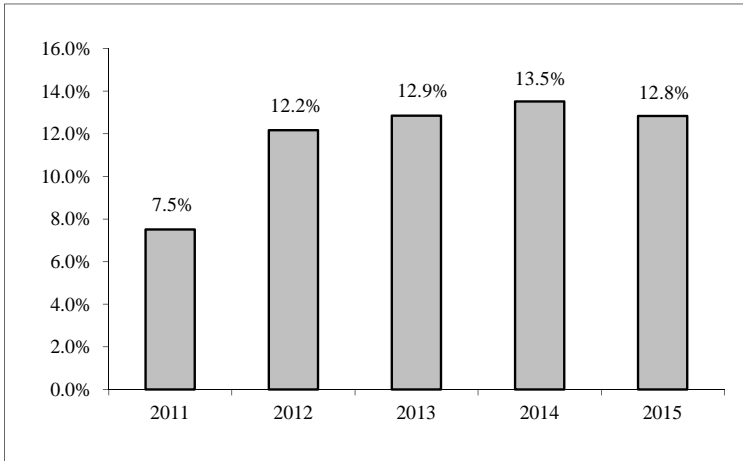
Net Accounts Receivable (in days)



Net accounts receivable in days increased from 61 days in 2014 to 73 days in 2015 due to increased volume, as well as an increase in time to code. In preparation for the transition to ICD-10 on October 1, 2015, coding resources were diverted for remediation and training.

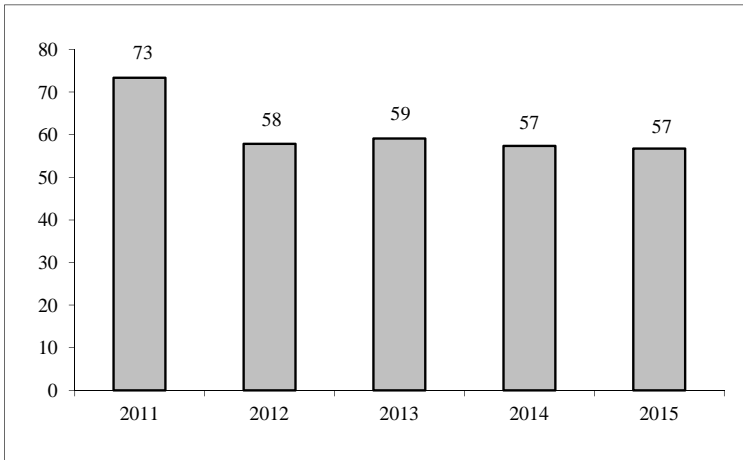
**Appendix G - Key MSRDP & NPHC Operating Factors
The University of Texas Southwestern Medical Center**

Annual Operating Margin Ratio



The annual operating margin ratio decreased from 13.5% for 2014 to 12.8% for 2015 primarily due to an accrual of \$21.4 million associated with the audit of the Physician Upper Payment Limit for the periods May 1, 2004, through September 30, 2007. Although the annual operating margin decreased, the physician practice plan recognized \$42.5 million in other operating revenue from the Delivery System Reform Incentive Payment program, which was an increase of \$29.4 million over the prior year, and \$8.7 million in other operating revenue from uncompensated care (Network Access Improvement Program).

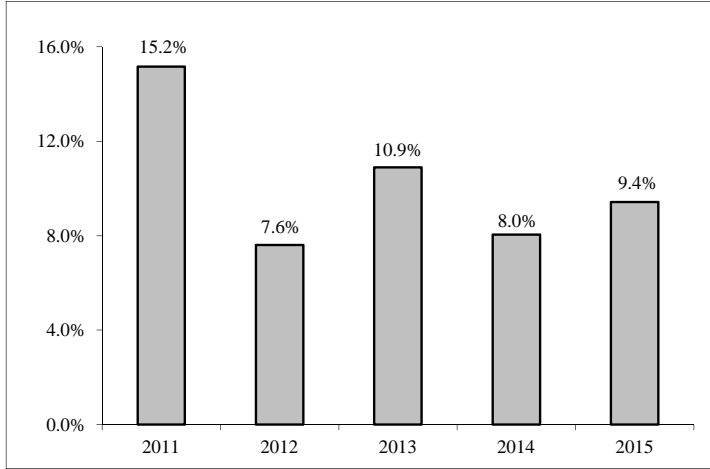
Net Accounts Receivable (in days)



The net accounts receivable in days remained stable between 2014 and 2015 primarily due to billing efficiency.

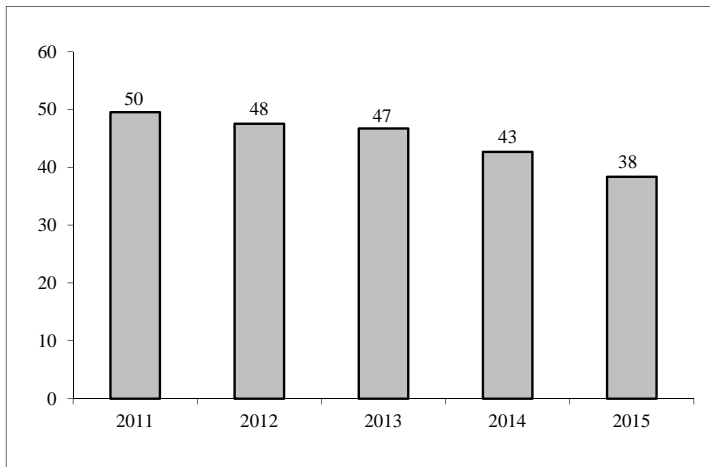
**Appendix G - Key Hospital Operating Factors
The University of Texas Medical Branch at Galveston**

Annual Operating Margin Ratio



UTMB Hospitals and Clinics' annual operating margin ratio increased from 8.0% for 2014 to 9.4% for 2015. The annual operating margin ratio was positively impacted by net revenue from Medicaid 1115 Waiver (Waiver) operations, including Delivery System Reform Incentive Payments, of \$18.3 million in 2015. Excluding the net Waiver operations, the annual operating margin ratio would have been 7.6% for 2015. Increased downward pressure on reimbursement rates from healthcare reform, as well as inflationary increases on operating expenses impacted the annual operating margin ratio. Overall, excluding net Waiver operations, the hospitals and clinics operating revenues increased by 11.6% while operating expenses increased by 12.1% in 2015. The hospitals and clinics experienced significant patient volume growth in 2015 with adjusted discharges increasing 16.1%.

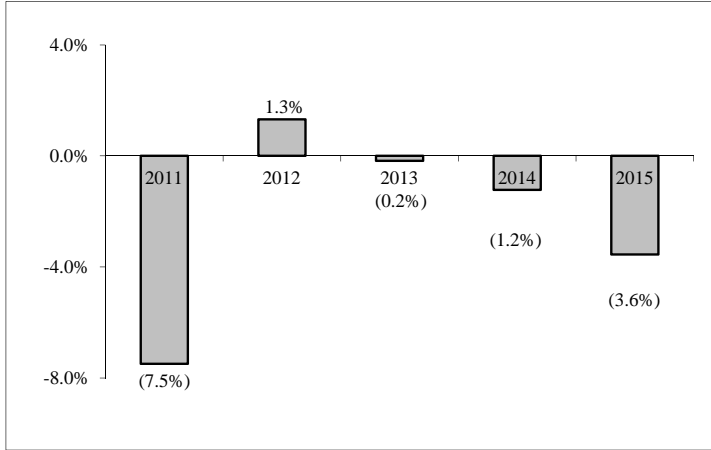
Net Accounts Receivable (in days)



Net accounts receivable in days decreased 11.6% between 2014 and 2015 from 43 days to 38 days due to improvements in Revenue Cycle processes and conservative reserve methodologies.

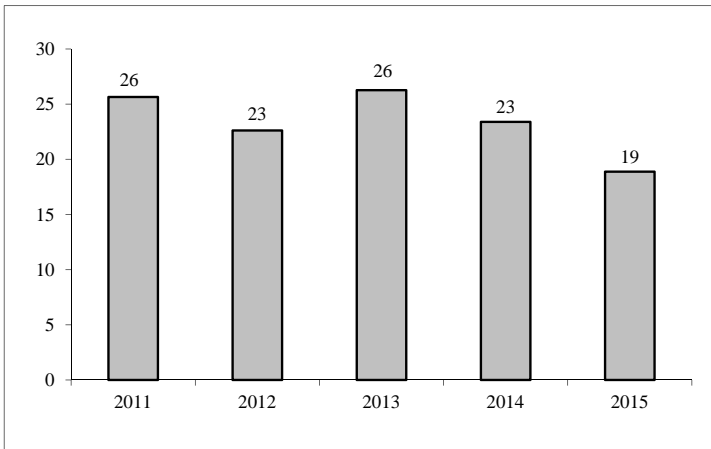
**Appendix G - Key MSRDP & NPHC Operating Factors
The University of Texas Medical Branch at Galveston**

Annual Operating Margin Ratio



The annual operating margin ratio decreased from (1.2%) for 2014 to (3.6%) for 2015. Although operating revenues increased by 9.0%, operating expenses increased by 11.5%. The increase in operating revenues was primarily due to the Delivery System Reform Incentive Payment (DSRIP) program and clinical contracts. The increase in net patient care revenue related to clinical activities was largely offset by an accrual of \$11.1 million associated with the audit of the Physician Upper Payment Limit for the periods May 1, 2004 through September 30, 2007. The increase in operating expenses was primarily due to salaries and wages and payroll related costs as a result of clinical recruitment efforts, DSRIP and an overall salary administration adjustment.

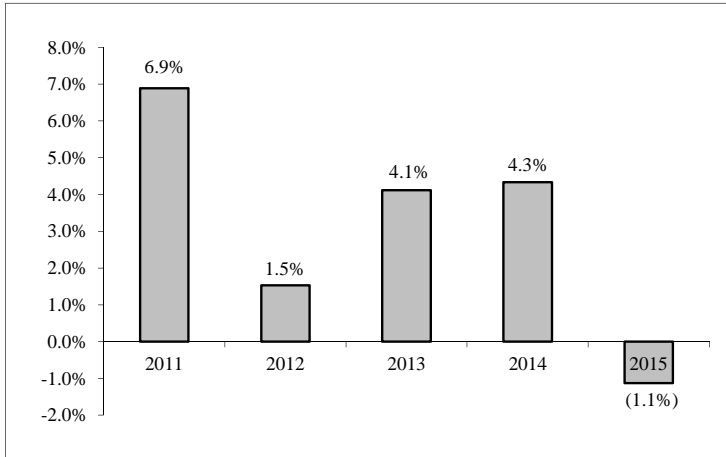
Net Accounts Receivable (in days)



Net accounts receivable in days decreased 17.4% between 2014 and 2015 from 23 days to 19 days due to improvements in Revenue Cycle processes.

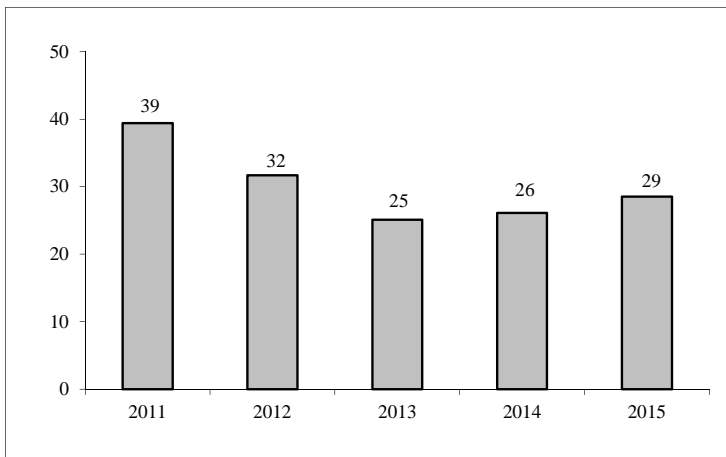
**Appendix G - Key Hospital Operating Factors
The University of Texas Health Science Center at Houston**

Annual Operating Margin Ratio



The decrease in the annual operating margin ratio was attributable to the following: a \$1.1 million decrease in net patient revenue mainly due to the impact of the Medicaid managed care spell of illness limitation; a \$0.6 million increase in physician salaries and the cost of locum tenens coverage in response to and as a result of the shortage of psychiatrists; additions to unit based staffing at a cost of approximately \$0.4 million to support contract program expansion; and a \$0.3 million increase in overtime expense resulting from a rise in the level of patient acuity.

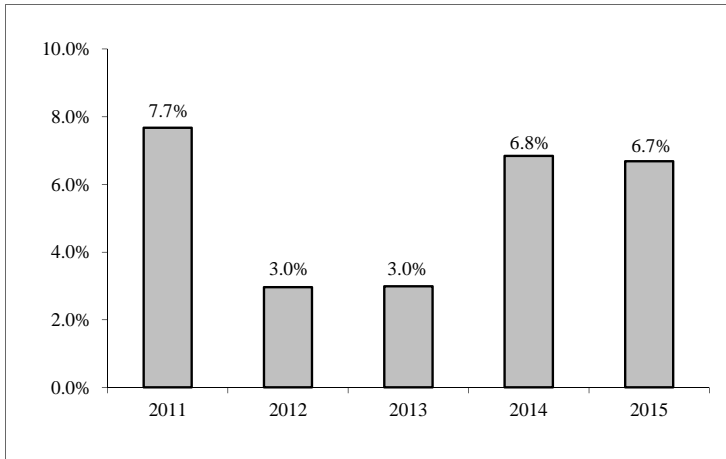
Net Accounts Receivable (in days)



The net accounts receivable in days remained fairly constant over the last four years. Continuous monitoring and improvement of the hospital's billing and collection processes, including management of denials, timely identification of patients who qualify for indigent status, and timely recognition of patient bad debts help to maintain a relatively low net days in accounts receivable.

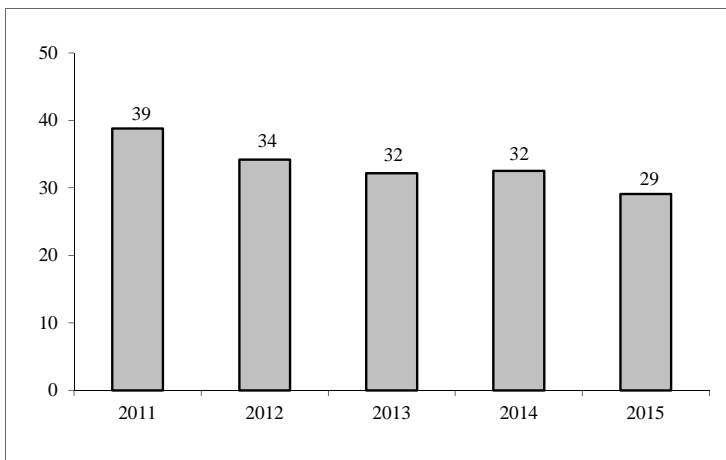
Appendix G - Key MSRDP & NPHC Operating Factors
The University of Texas Health Science Center at Houston

Annual Operating Margin Ratio



The annual operating margin ratio remained relatively stable from 2014 to 2015. The physician practice plan recognized an increase in both operating revenues and expenses of approximately 21%. Total operating revenues increased due to the growth in the physician practice plan, including additional uncompensated care revenue associated with the Medicaid Section 1115 Demonstration Program and Affordable Care Act, Delivery System Reform Incentive Payments revenue, and new Network Access Improvement Program revenue. Although total operating revenues increased, an accrual of \$8.4 million associated with the audit of the Physician Upper Payment Limit for the periods May 1, 2004 through September 30, 2007 negatively impacted net patient revenues. Total operating expenses also increased primarily as a result of the addition of faculty and the acquisition and opening of new clinics.

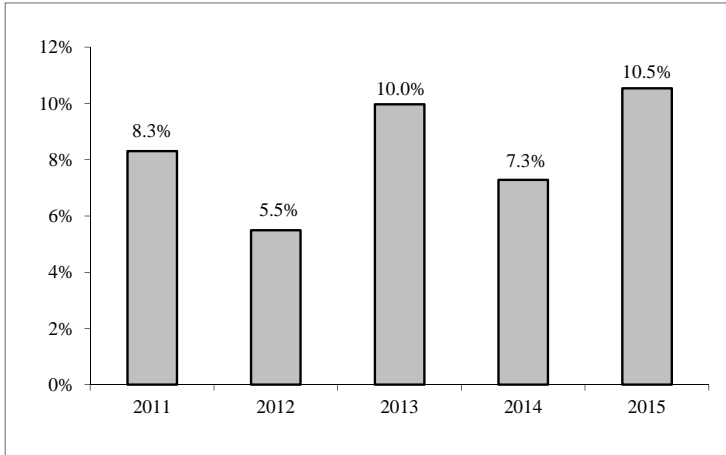
Net Accounts Receivable (in days)



Net accounts receivable (in days) improved from 32 days in 2014 to 29 days in 2015. The physician practice plan focused heavily on improving the revenue cycle over the last few years. In 2015 there was an emphasis on insurance claims being processed more accurately, which resulted in faster payment of the claims, and therefore, reduced denials and increased collection of time of service payments.

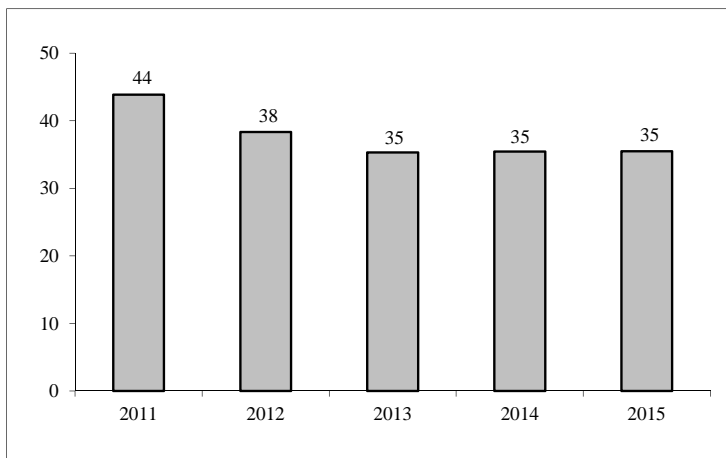
Appendix G - Key MSRDP & NPHC Operating Factors
The University of Texas Health Science Center at San Antonio

Annual Operating Margin Ratio



The annual operating margin comprises all medical clinical operations, including patient activities provided through the Cancer Therapy and Research Center. The increase in the annual operating margin ratio was primarily attributable to a strategic focus on the *Patient First* initiative targeted at applying productivity standards and process improvement ideas to enhance clinical performance. These efforts resulted in net revenues of \$10.4 million over the prior year. The Delivery System Reform Incentive Payment (DSRIP) program associated with the Medicaid Section 1115 Demonstration also generated \$3.0 million more in net revenues over the prior year. Excluding DSRIP activity, operating revenues increased by \$24.4 million over the prior year, while operating expenses increased by \$14.0 million due to increased service requirements associated with University Health System contracts, efforts targeted at clinical expansion and enhancement activities, and faculty recruitments and compensation efforts aligned with productivity-based compensation plans. Although total operating revenues increased in 2015, an accrual of \$6.3 million associated with the audit of the Physician Upper Payment Limit for the periods May 1, 2004 through September 30, 2007 negatively impacted net patient revenues. UTHSC-San Antonio continues to be committed to reinvesting incremental operating revenues towards recruitment efforts, addressing faculty compensation issues, expanding programs and departments, streamlining billing operations and patient services, as well as developing and implementing an infrastructure necessary to meet the goals and challenges of healthcare reform.

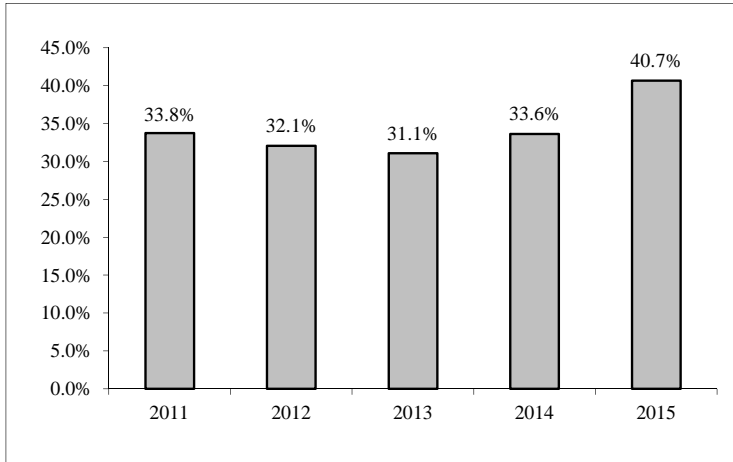
Net Accounts Receivable (in days)



The sustainment of days outstanding of net receivables was attributable to the continued approach implemented by U. T. Medicine-San Antonio that aggressively serves to accelerate the identification of bad debts during the collection cycle. The continued improvement in the timely billing of services, as well as the use of effective collection and pre-collection agency contracts in 2015, allowed for better management of accounts and sustaining a consistent write-off period of accounts to bad debt at 120 days.

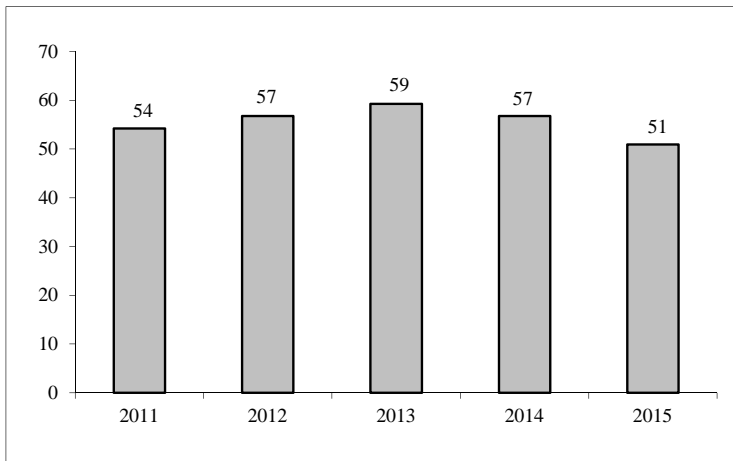
**Appendix G - Key Hospital Operating Factors
The University of Texas M. D. Anderson Cancer Center**

Annual Operating Margin Ratio



The annual operating margin ratio increased from 33.6% for 2014 to 40.7% for 2015. The increase in this ratio was attributable to increased net revenues in core patient care operations, as well as managed growth of operating expenses during 2015.

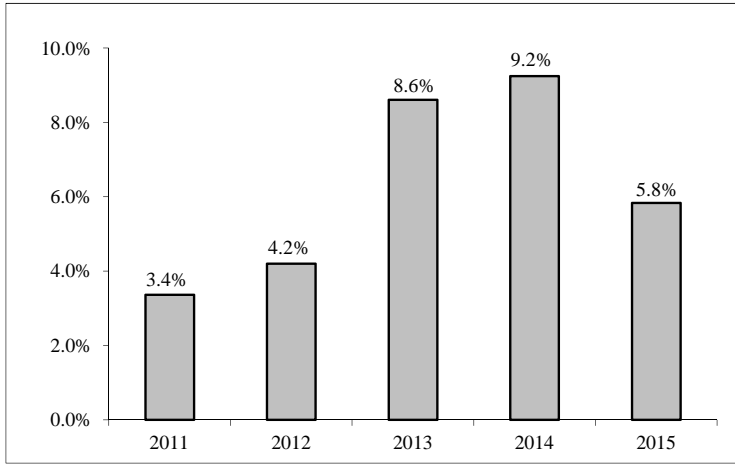
Net Accounts Receivable (in days)



The accounts receivable measured in days declined from 57 days in 2014 to 51 days in 2015 due to internal efforts to accelerate coding, billing and cash collection efforts ahead of ICD-10 (a medical classification list by the World Health Organization which contains codes for diseases) and Epic implementations. Further gains in these areas were slowed by extended appeals reviews with various managed care and governmental payors.

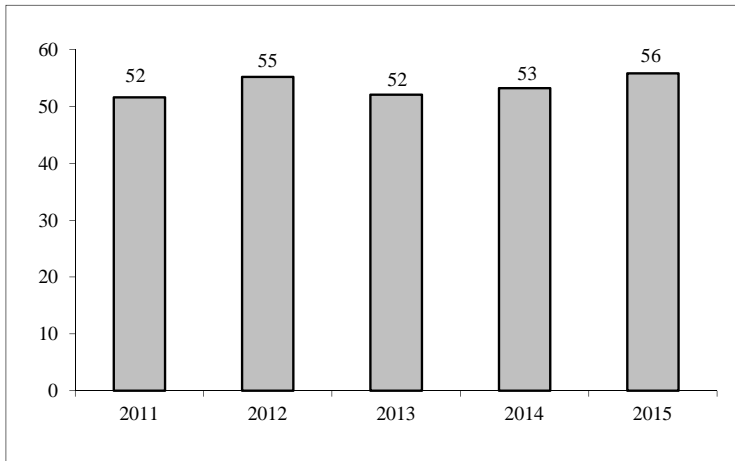
**Appendix G - Key MSRDP & NPHC Operating Factors
The University of Texas M. D. Anderson Cancer Center**

Annual Operating Margin Ratio



The annual operating margin ratio decreased from 9.2% for 2014 to 5.8% for 2015. The decrease in this ratio was partially attributable to an accrual of \$8.2 million associated with the audit of the Physician Upper Payment Limit (UPL) for the periods May 1, 2004 through September 30, 2007. In addition, operating expenses increased largely due to an increase in salaries and related benefits as a result of new and vacant positions that were filled in 2015.

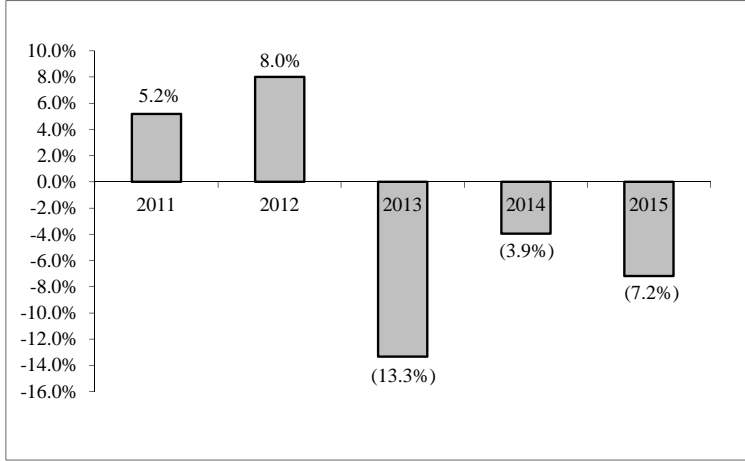
Net Accounts Receivable (in days)



The net accounts receivable measured in days increased from 53 days in 2014 to 56 days in 2015 due to a decrease in net charges, which was attributable to the accrual of \$8.2 million associated with the UPL audit. M. D. Anderson continues improvements in the business office operations, as well as record collections.

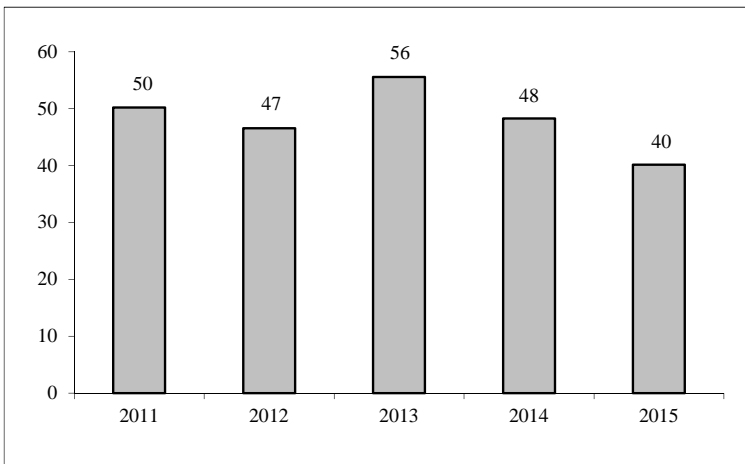
**Appendix G - Key Hospital Operating Factors
The University of Texas Health Science Center at Tyler**

Annual Operating Margin Ratio



The annual operating margin ratio decreased from a deficit of (3.9%) for 2014 to a deficit of (7.2%) for 2015 as the growth in total operating expenses of \$9.2 million exceeded the growth in total operating revenues of \$5.5 million. The increase in total operating expenses was largely driven by the following: a \$7.9 million increase in salaries and benefits primarily due to the growth of Behavioral Health; a \$2.0 million increase in supplies as a result of increased volumes; and a \$0.3 million increase in contracted services primarily generated by the outsourced Pathology services.

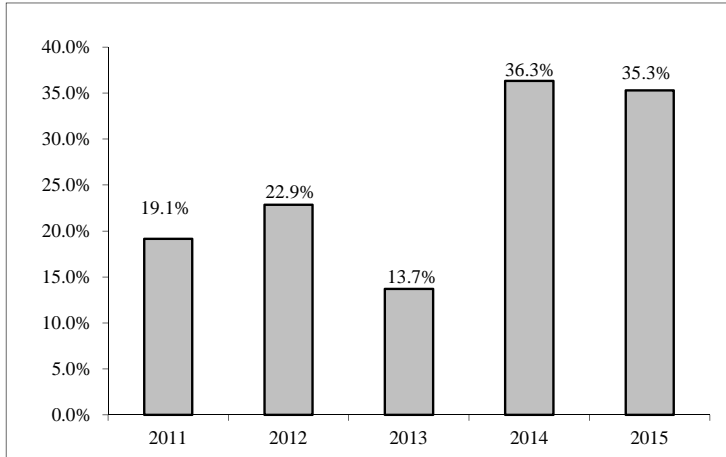
Net Accounts Receivable (in days)



Net accounts receivable in days decreased by 8 days from 2014 to 2015 due to improved collection rates. Gross hospital patient revenue increased 12% while net patient collections increased 21%.

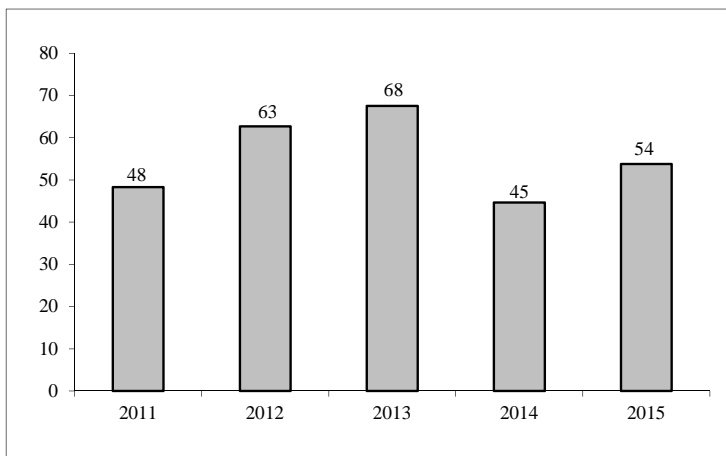
**Appendix G - Key MSRDP & NPHC Operating Factors
The University of Texas Health Science Center at Tyler**

Annual Operating Margin Ratio



The annual operating margin ratio remained elevated due to net revenue of \$17.9 million received from the Delivery System Reform Incentive Payment (DSRIP) program. This was an increase in net DSRIP revenue of \$2.5 million over the prior year. Overall net patient revenue remained relatively stable, while the Good Shepherd Medical Center (GSMC) Residency contract increased \$1.6 million. The accrual of \$2.4 million associated with the audit of the Physician Upper Payment Limit (UPL) for the periods May 1, 2004 through September 30, 2007, negatively impacted net patient revenues in 2015. Total operating expenses increased primarily due to a \$3.7 million increase in salaries as a result of additional specialists hired and an increase in GSMC residents, as well as an increase of \$1.0 million in DSRIP employee costs.

Net Accounts Receivable (in days)



Net accounts receivable in days increased by 9 days due to a 36% increase in gross billings attributable to new physicians and additional services. The continued movement of traditional Medicare and Medicaid patients into Advantage plans also delayed payment.

4. **U. T. System: Approval of amendment to Budget Rules and Procedures including raising the threshold for budget amendments requiring Board or U. T. System Administration approval and changing the requirements for Board or U. T. System Administration approval for budget actions involving certain personnel**

RECOMMENDATION

With the concurrence of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Business Affairs, the Executive Vice Chancellor for Health Affairs, and the Vice Chancellor and General Counsel, the Chancellor recommends that the U. T. System Board of Regents approve amendments to the Budget Rules and Procedures as set forth in congressional style on the following pages.

BACKGROUND INFORMATION

The U. T. System Budget Rules and Procedures for the Fiscal Year (FY) ending August 31, 2016 were approved by the Board on August 20, 2015, as part of the operating budgets for FY 2016. The Rules require Board approval of increases in budgeted amounts from income for Educational and General, Auxiliary Enterprises, Designated Funds, Service Departments, Revolving Funds, and Plant Funds subject to specific thresholds. Again subject to specific thresholds, increases to Plant Funds resulting from transfers from Educational and General Funds, Auxiliary Enterprises, Designated Funds, Service Departments, and Revolving Funds also require Board approval.

The amendments propose increases to thresholds for items requiring approval from the Board of Regents or U. T. System Administration as identified in congressional style, delete Board or U. T. System Administration approval requirements for budget actions involving certain personnel, and include other formatting changes.

The recommended authorization to the Chancellor to approve budget amendments for U. T. System Administration not to exceed \$10 million is consistent with Board action on August 20, 2015, approving the FY 2016 operating budget. In implementing the proposed authorization, the Chancellor must consult in advance with the Chairman of the Board. U. T. System special initiatives to be funded with Available University Funds (AUF) require advance notice to the Legislative Budget Board (LBB) prior to implementation.

**THE UNIVERSITY OF TEXAS SYSTEM
BUDGET RULES AND PROCEDURES**

For Fiscal Year Ending August 31, 2016
(Revised February 2016)

A. INITIAL BUDGET

1. Any transfers subsequent to the approval of the initial budget shall be made only after careful consideration of the allocations, transfer limitations, and general provisions of the current general appropriations act. (See B: Budget Amendments)
2. All appointments are subject to the provisions of the U. T. System Board of Regents' *Rules and Regulations* ("Regents' Rules") for the governance of The University of Texas System.
3. The established merit policy will be observed in determining salary rates.
4. All academic salary rates in the instructional departments of the academic institutions are nine-month rates (September 1 - May 31) unless otherwise specified. In the health-related institutions, all salary rates are twelve-month rates unless otherwise specified.
5. All appointments of classified personnel are based on twelve-month rates and are made within appropriate salary ranges as defined by the classified personnel Pay Plan approved by the president or Chancellor. All appointments of administrative and professional personnel are based on twelve-month rates.
6. Compensation for continuing personnel services (for a period longer than one month), though paid for on an hourly basis, is not to be paid out of maintenance and equipment, or like appropriations, except upon specific approval of the president of the institution or the Chancellor.
7. All maintenance and operation, equipment, and travel appropriations are for twelve months (September 1 - August 31) and should be budgeted and expended accordingly.

B. BUDGET AMENDMENTS

1. Items requiring approval of the U. T. System Administration and subsequent approval by the U. T. System Board of Regents through the Consent Agenda
 - a. ~~Transfers from unappropriated Educational and General Fund Balance.~~
 New appointments of tenured faculty (Regents' Rule 31007).
 - ~~e.~~b. Award of tenure to any faculty member (Regents' Rule 31007).
 - ~~d.~~c. New appointments as Regental Professor, Dean Emeritus, Chair Emeritus, or Professor Emeritus (Regents' Rule 31001). Titles set forth in Regents' Rule 20301 including Chancellor Emeritus, President Emeritus and similar honorary designations are conferred by the U. T. System Board of Regents through the full agenda.
 - ~~e.~~d. Appointments, promotions, and salary increases involving the president (Regents' Rules 20201, 20202, 20203).
 - ~~f.~~e. New contracts or contract changes involving athletic directors or head coaches whose total annual compensation, or total contractual compensation, equals or exceeds the amounts specified by Regents' Rule 10501 Section 2.2.12.
 - ~~g.~~f. Compensation changes for employees whose total annual compensation is \$1,000,000 or above (Regents' Rule 20204).
 - ~~h.~~g. Compensation changes for Key Executives as defined by Regents' Rule 20203.
 - ~~i.~~h. Increases in budgeted amounts from income or unappropriated balances for Educational and General, Auxiliary Enterprises, Designated Funds, Service Departments, Revolving Funds, and Plant Funds, subject to the thresholds established in B.5 below.
 - ~~j.~~i. Increases to Plant Funds which result from transfers from Educational and General Funds, Auxiliary Enterprises, Designated Funds, Service Departments, and Revolving Funds, subject to the thresholds established in B.5 below.
2. Items requiring approval of U. T. System Administration (no Consent Agenda approval required)
 - a. Reappropriation of prior year Educational and General Fund balances, subject to the thresholds established in B.5 below.
 - b. Increases in budgeted amounts from income or unappropriated balances for Educational and General, Auxiliary Enterprises, Designated Funds, Service Departments, Revolving Funds, and Plant Funds, subject to the thresholds established in B.5 below.

- c. Increases to Plant Funds which result from transfers from Educational and General Funds, Auxiliary Enterprises, Designated Funds, Service Departments, and Revolving Funds, subject to the thresholds established in B.5 below.
- d. Compensation changes for employees whose total annual compensation is \$500,000 or more but less than \$1,000,000 (Regents' Rule 20204).
- e. Compensation increases involving tenured faculty of \$10,000 or more at academic institutions and \$25,000 or more at health-related institutions. This includes one-time merit payments.
- f. Appointments and promotions involving administrative and professional personnel reporting directly to the president, ~~a vice president, or the equivalent.~~
- g. Compensation increases of \$10,000 or more involving administrative and professional personnel reporting directly to the president, ~~a vice president, or the equivalent.~~ This includes one-time merit payments.
- ~~h. All appointments and compensation increases of \$10,000 or more involving employees serving under written employment contracts. This includes one-time merit payments.~~

3. Items requiring approval of the president only (Chancellor for U. T. System Administration)

- a. All interdepartmental transfers.
- b. All budget transfers between line-item appropriations within a department.
- c. Increases in budgeted amounts from income or unappropriated balances for Educational and General Funds, Auxiliary Enterprises, Designated Funds, Service Departments, and Revolving Funds, subject to the thresholds established in B.5 below.
- d. Reallocation of unallocated Faculty Salaries. All unfilled and uncommitted line-item faculty salary positions will lapse to the institutional "Unallocated Faculty Salaries" account.
- e. Reappropriation of Prior Year Educational and General Fund Balances, subject to the thresholds established in B.5 below.
- f. Promotions involving tenured faculty.
- g. Transactions involving all other personnel except those specified in B.1b, B.1c, B.1d, B.1e, B.1f, B.1g, B.1h, B.2d, B.2e, B.2f, and B.2g ~~and B.2h~~ as defined above.

- h. Changes in sources of funds, changes in time assignments, and other changes in status for personnel categorized in Item B.1, provided no change in the individual's salary rate is involved. In the case of Medical Faculty, this provision applies to "Total Compensation."
 - i. Summer Session Budgets.
 - j. Clinical faculty appointments or changes, including medical or hospital staff, without salary.
4. Effective date of appointments and compensation increases
- a. Any increase in approved compensation for the current fiscal year without a change in classification or position is not to be effective prior to the first day of the month in which the required final approval of the rate change is obtained.
 - b. A compensation increase resulting from an appointment to another classification or to a position involving new and different duties may be made effective to the time of the first performance of duties under the new appointment.
 - c. The effective date of an appointment is the date on which the individual is first to perform service for the institution under that appointment.
 - d. The original appointment during a fiscal year of a person not in a budget for that year or not under an existing appointment for that year may relate back to the first performance of duties during the fiscal year although such person may have been employed in a previous fiscal year and although increased compensation for the same classification or position is involved.
5. Budget amendment criteria
- a. Institutions other than U. T. System Administration with budgeted revenue, including transfers from the Available University Fund, of \$1 billion or more will have a threshold of:
 - i. For B.1~~h~~ⁱ and B.1~~j~~^j - Equal to or greater than \$25,000,000 (budget increase approval on Consent Agenda)
 - ii. For B.2a – Equal to or greater than \$42,000,000 (reappropriation of E&G balances approval by U. T. System Administration)
 - iii. For B.2b and B.2c – Equal to or greater than \$42,000,000 and less than \$25,000,000 (budget increase approval by U. T. System Administration)
 - iv. For B.3c and B.3e – Less than \$42,000,000 (approval by president)
 - b. Institutions other than U. T. System Administration with budgeted revenue, including transfers from the Available University Fund, between -\$250 million and \$1 billion will have a threshold of:
 - i. For B.1i and B.1j – Equal to or greater than \$2,51,5,000,000 (budget increase approval on Consent Agenda)
 - ii. For B.2a – Equal to or greater than \$51,000,000 (reappropriation of E&G balances approval by U. T. System Administration)
 - iii. For B.2b and B.2c – Equal to or greater than \$51,000,000 and less than \$2,51,5,000,000 (budget increase approval by U. T. System Administration)

For B.3c and B.3e – Less than \$51,000,000 (approval by president)

- c. Institutions other than U. T. System Administration with budgeted revenue, including transfers from the Available University Fund, less than \$250 million will have a threshold of:
 - i. For B.1i and B.1j – Equal to or greater than \$51,000,000 (budget increase approval on Consent Agenda)
 - ii. For B.2a – Equal to or greater than \$40250,000 (reappropriation of E&G balances approval by U. T. System Administration)
 - iii. For B.2b and B.2c – Equal to or greater than \$40250,000 and less than \$51,000,000 (budget increase approval by U. T. System Administration)
 - iv. For B.3c and B.3e – Less than \$40250,000 (approval by president)

- d. U. T. System Administration will have a threshold of:
 - i. For B.1i and B.1j – Equal to or greater than \$1,000,000 (budget increase approval on Consent Agenda)
 - ii. For B.2a and B.3e – All amounts may be approved by the Chancellor (reappropriation of E&G balances)
 - iii. For B.2b, B.2c, and B.3c – All amounts less than \$1,000,000 may be approved by the Chancellor (budget increase approval)
 - iv. Notwithstanding i., ii., and iii and after consultation with the Chairman of the U. T. System Board of Regents, the Chancellor may authorize any budget amendment not to exceed \$10,000,000 for U. T. System Administration without additional approvals from the U. T. System Board of Regents. This provision does not apply to Available University Fund balances not previously appropriated.
 - v. Notwithstanding i., ii., and iii., the Chancellor may authorize any budget amendment in the U. T. System revolving insurance funds without limitation.

C. OTHER CONSIDERATIONS

1. All appropriations not actually expended or encumbered by August 31 will automatically lapse to the Unappropriated Balance Account except for those reallocated pursuant to Item B.2a and Item B.3e.
2. Compensation indicated as "MSRDP Funds," "DSRDP Funds," "PRS Funds", "Allied Health Faculty Services Plan" or "Nursing Clinical Enterprise Health Services, Research and Development Plan" is contingent upon its being earned or available in accordance with the regulations applicable to the Medical Service Research and Development Plan, Dental Service Research and Development Plan, Physicians Referral Service Plan, Allied Health Faculty Services Plan or Nursing Clinical Enterprise Health Services, Research and Development Plan.
3. Budgeted expenditures authorized from sources of funds other than Educational and General Funds are contingent upon receipt of such funds. Appointments from such fund sources will not become an obligation of the institution in the event the supplemental or grant funds are not realized.

4. Leaves of Absence may be granted only in accordance with provisions contained in Regents' *Rule* 30201.
5. In these Rules, Compensation means total annual compensation as defined by Regents' *Rule* 20204 or total compensation under a multiyear contract.
6. Appropriations of the Available University Fund are subject to the appropriation limitations and notice requirements found in the General Appropriations Act.

5. U. T. System: Approval of the Fiscal Year 2017 Budget Preparation Policies and Calendar for budget operations

RECOMMENDATION

With the concurrence of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Business Affairs, and the Executive Vice Chancellor for Health Affairs, the Chancellor recommends that the U. T. System Board of Regents approve the Budget Preparation Policies and Calendar on [Page 228](#) for use in preparing the Fiscal Year (FY) 2017 Operating Budget for the U. T. System as set out below:

U. T. System Fiscal Year 2017 Budget Preparation Policies

1. General Guidelines - The regulations and directives included in the *General Appropriations Act* enacted by the 84th Texas Legislature serve as the basis for these guidelines and policies. In preparing the draft of the FY 2017 Operating Budget, the president of each institution should adhere to guidelines and policies as detailed below and as included in the *General Appropriations Act*. The Chief Budget Officer will issue detailed instructions regarding the implementation of those regulations and directives into the institutional budget process.

The president of each institution should examine the resources used at the institution and, where possible, redirect resources toward high priority mission critical activities and strategic competitive investments that are consistent with the goals and objectives included in the institution's Strategic Plan.

Overall budget totals, including retaining reasonable reserves for a potential future financial shortfall, must be limited to the funds available for the year from General Revenue Appropriations, Estimates of Educational and General Income, and limited use of institutional unappropriated balances.

2. Maintenance of Operating Margin and Use of Prior Year Balances - Institutions should make all reasonable efforts to maintain a favorable operating margin within the FY 2017 Operating Budget. Use of prior year balances should be limited to critical items, unique opportunities, or projects funded from prior year income committed for that purpose. Generally, balance usage should be reserved for nonrecurring activities. Balance usage cannot be recommended to the U. T. System Board of Regents for approval without the consent of the Chancellor, the Deputy Chancellor, the appropriate Executive Vice Chancellor, and the Associate Vice Chancellor, Controller, and Chief Budget Officer.
3. Salary Guidelines - Recommendations regarding salary policy are subject to the following directives:
 - A. Salaries Proportional by Fund - Unless otherwise restricted, payment for salaries, wages, and benefits paid from appropriated funds, including local funds and educational and general funds as defined in *Texas Education Code* Section 51.009 (a) and (c), shall be proportional to the source of funds.

- B. Merit Increases and Promotions - Subject to available resources and resolution of any major salary inequities, institutions should give priority to implementing merit salary increases for faculty and staff.

Merit increases or advances in rank for faculty are to be on the basis of teaching effectiveness, research, and public service.

As defined in *Texas Education Code* Section 51.962, an employee must have been employed by the institution for at least six consecutive months immediately preceding the effective date of the increase to be eligible for a merit increase, and at least six months must have elapsed since the employee's last merit salary increase.

Merit increases or promotions for administrative and professional staff and classified staff are to be based on evaluation of performance in areas appropriate to work assignments.

In accordance with the Regents' *Rules and Regulations*, performance appraisals are required to be conducted annually for all employees of the U. T. System. To verify compliance with this policy, U. T. System presidents and the Executive Vice Chancellor for Business Affairs for U. T. System Administration shall annually certify that all eligible employees (including staff and faculty) have completed performance appraisals.

- C. Other Increases - Equity adjustments, competitive offers, and increases to accomplish contractual commitments should also consider merit where appropriate, subject to available resources. Subject to guidance issued by the Chancellor, such increases should be noted and explained in the supplemental data accompanying the budget.
- D. New Positions - Subject to available resources, new administrative and professional staff, classified staff, and faculty positions are to be requested only when justified by workloads or to meet needs for developing new programs.
- E. Reporting - The Chief Budget Officer will issue guidance on reporting of compensation changes and amounts. It is expected that required reports will encompass high-ranking staff covered by Regents' *Rules and Regulations*, Rules 20203 and 20204 along with those staff receiving significant changes in compensation.
4. Staff Benefits Guidelines - Recommendations regarding the State contribution for employee staff benefits such as group insurance premiums, teacher retirement, and optional retirement are subject to legislative determination via the *General Appropriations Act*. Payments for benefits, including for retirees, should comply with the provisions of Accounting Policy Statements No. 11, "Benefits Proportional by Fund" and the *General Appropriations Act*. The Chief Budget Officer will issue instructions regarding the implementation of the benefits into the budget process.

5. Other Employee Benefits - Employer contributions to the self-insured Unemployment Compensation Fund are based on an actuarial study. Workers' Compensation Insurance rates are experience-rated for each institution. Appropriate instructions will be issued regarding the implementation of Unemployment Compensation Fund and Workers' Compensation Insurance Benefits.
6. Other Operating Expenses Guidelines - Increases in Maintenance, Operation, Equipment, and Travel are to be justified by expanded workloads, for developing new programs, or for correcting past deferrals or deficiencies.
7. Calendar - In the event of unforeseen circumstances, authority is delegated to the Chancellor to modify the Calendar.

BACKGROUND INFORMATION

The U. T. System FY 2017 Budget Preparation Policies are consistent with the regulations and directives included in the *General Appropriations Act* enacted by the 84th Texas Legislature and with general law. As written, this policy provides general direction to the U. T. System institutions.



**THE UNIVERSITY OF TEXAS SYSTEM
FY 2017 OPERATING BUDGET CALENDAR**

January 2016 - August 2016	Performance appraisal focal period
February 11, 2016	U. T. System Board of Regents takes appropriate action on budget preparation policies
April 15, 2016	Request for Library, Equipment, Repair and Rehabilitation new project instructions and information on balances subject to lapse are sent to institutions
April 18, 2016	Budget instructions issued
April 18 - 29, 2016	Major goals, priorities, and resource allocation hearings with U. T. System Administration
May 20, 2016	Draft budget documents due to U. T. System
May 25 - 27, 2016	Technical budget review with U. T. System
June 1, 2016	New Library, Equipment, Repair and Rehabilitation project requests are due to U. T. System
June 10, 2016	Final budget documents due to U. T. System
July 15, 2016	Reports on highly compensated staff covered by Regents' Rules 20203 and 20204, high-ranking staff salaries, and institutional Top Ten salaries due to U. T. System
August 5, 2016	Operating Budget Summaries provided to the U. T. System Board of Regents
August 18, 2016	Salary change report due to U. T. System
August 25, 2016	U. T. System Board of Regents takes appropriate action on Operating Budget and President and Executive Officer compensation

6. **U. T. System Board of Regents: Report on activities of the University Lands Advisory Board**

REPORT

Regent Cranberg, Chairman of the University Lands Advisory Board (ULAB), will report on activities related to the ULAB.

BACKGROUND INFORMATION

The ULAB was established by the Board of Regents on May 15, 2014, to advise the Board on operations and management of the University Lands Office, to review and recommend budgets to the Board, and to provide strategic direction for University Lands.

7. **U. T. System Board of Regents: The University of Texas Investment Management Company (UTIMCO) Performance Summary Report and Investment Reports for the quarter ended November 30, 2015**

REPORT

The November 30, 2015 UTIMCO Performance Summary Report is set forth on [Page 231](#).

The Investment Reports for the quarter ended November 30, 2015, are set forth on [Pages 232 - 235](#).

Item I on [Page 232](#) reports activity for the Permanent University Fund (PUF) investments. The PUF's net investment return for the quarter was negative .44% versus its composite benchmark return of 1.52%. The PUF's net asset value increased by \$60 million during the quarter to \$17,550 million. The increase was due to \$141 million PUF Lands receipts, less a net investment return of negative \$81 million. No distribution was made to the Available University Fund (AUF) during the quarter.

Item II on [Page 233](#) reports activity for the General Endowment Fund (GEF) investments. The GEF's net investment return for the quarter was negative .57% versus its composite benchmark return of 1.52%. The GEF's net asset value decreased by \$95 million during the quarter to \$8,142 million.

Item III on [Page 234](#) reports activity for the Intermediate Term Fund (ITF). The ITF's net investment return for the quarter was negative .64% versus its composite benchmark return of negative .43%. The net asset value increased during the quarter to \$7,095 million due to net contributions of \$157 million, less net investment return of negative \$46 million and distributions of \$53 million.

All exposures were within their asset class and investment type ranges. Liquidity was within policy.

Item IV on [Page 235](#) presents book and market values of cash, debt, equity, and other securities held in funds outside of internal investment pools. Total cash and equivalents, consisting primarily of institutional operating funds held in the Dreyfus and Fidelity money market fund, decreased by \$123 million to \$2,010 million during the three months since the last reporting period. Market values for the remaining asset types were debt securities: \$20 million versus \$21 million at the beginning of the period; equities: \$240 million versus \$267 million at the beginning of the period; and other investments: \$2 million versus \$6 million at the beginning of the period.

UTIMCO Performance Summary
November 30, 2015

	Net Asset Value 11/30/2015 (in Millions)	Periods Ended November 30, 2015 (Returns for Periods Longer Than One Year are Annualized)							
		Short Term		Year to Date		Historic Returns			
		1 Mo	3 Mos	Fiscal	Calendar	1 Yr	3 Yrs	5 Yrs	10 Yrs
ENDOWMENT FUNDS									
Permanent University Fund	\$ 17,550	(0.59%)	(0.44%)	(0.44%)	1.33%	0.60%	6.86%	6.76%	5.89%
Permanent Health Fund	1,057								
Long Term Fund	7,085								
General Endowment Fund	8,142	(0.62%)	(0.57%)	(0.57%)	1.23%	0.82%	6.98%	6.87%	6.00%
Separately Invested Funds	377								
Total Endowment Funds	26,069								
OPERATING FUNDS									
Intermediate Term Fund	7,095	(0.62%)	(0.64%)	(0.64%)	(2.38%)	(2.88%)	3.02%	3.89%	N/A
Short Term Fund and Debt Proceeds Fund	1,896								
Total Operating Funds	8,991								
Total Assets Under Management	\$ 35,060								
VALUE ADDED (Percent)									
Permanent University Fund		(0.22%)	(1.96%)	(1.96%)	(0.98%)	(0.38%)	0.43%	0.71%	1.45%
General Endowment Fund		(0.25%)	(2.09%)	(2.09%)	(1.08%)	(0.16%)	0.55%	0.82%	1.56%
Intermediate Term Fund		0.39%	(0.21%)	(0.21%)	0.47%	0.65%	1.47%	1.57%	N/A
VALUE ADDED (\$ IN MILLIONS)									
Permanent University Fund		(\$39)	(\$344)	(\$344)	(\$167)	(\$63)	\$213	\$556	\$2,122
General Endowment Fund		(21)	(173)	(173)	(87)	(12)	134	338	1,257
Intermediate Term Fund		28	(15)	(15)	32	44	261	432	-
Total Value Added		(\$32)	(\$532)	(\$532)	(\$222)	(\$31)	\$608	\$1,326	\$3,379

Footnote available upon request.

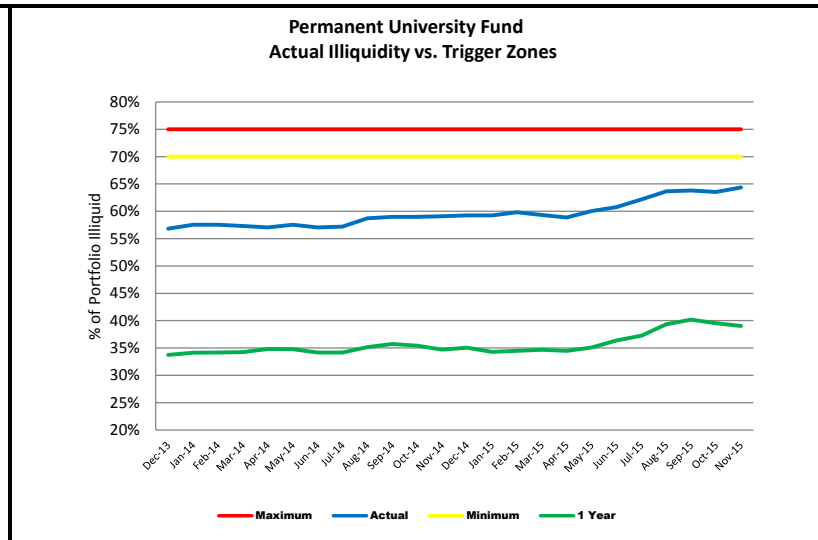
UTIMCO 12/18/2015

I. PERMANENT UNIVERSITY FUND
Investment Reports for Periods Ended November 30, 2015

Prepared in accordance with *Texas Education Code Sec. 51.0032*

	Fiscal Year to Date							
	Asset Allocation		Returns		Value Added			Total
	Actual	Policy	Portfolio	Policy Benchmark	Tactical Allocation	Active Management		
More Correlated and Constrained:								
Investment Grade	5.9%	6.5%	-1.25%	-0.95%	-0.01%	-0.03%	-0.04%	
Credit-Related	0.1%	0.0%	2.41%	-1.14%	0.00%	0.00%	0.00%	
Real Estate	2.3%	2.5%	2.44%	4.52%	0.00%	-0.05%	-0.05%	
Natural Resources	5.7%	7.5%	-9.10%	-5.80%	0.14%	-0.25%	-0.11%	
Developed Country	14.0%	14.0%	0.45%	3.43%	0.00%	-0.42%	-0.42%	
Emerging Markets	<u>9.8%</u>	<u>9.5%</u>	<u>2.90%</u>	<u>-0.14%</u>	<u>-0.01%</u>	<u>0.29%</u>	<u>0.28%</u>	
Total More Correlated and Constrained	37.8%	40.0%	-0.70%	0.21%	0.12%	-0.46%	-0.34%	
Less Correlated and Constrained	29.6%	30.0%	0.08%	-0.47%	-0.09%	0.25%	0.16%	
Private Investments	<u>32.6%</u>	<u>30.0%</u>	<u>-0.60%</u>	<u>5.14%</u>	<u>-0.10%</u>	<u>-1.68%</u>	<u>-1.78%</u>	
Total	<u>100.0%</u>	<u>100.0%</u>	<u>-0.44%</u>	<u>1.52%</u>	<u>-0.07%</u>	<u>-1.89%</u>	<u>-1.96%</u>	

	Summary of Capital Flows		
(\$ millions)	Fiscal Year Ended August 31, 2015	Quarter Ended November 30, 2015	Fiscal Year to Date August 31, 2016
Beginning Net Assets	\$17,365	\$17,490	\$17,490
PUF Lands Receipts	807	141	141
Investment Return (Net of Expenses)	82	(81)	(81)
Distributions to AUF	(764)	0	0
Ending Net Assets	<u>\$17,490</u>	<u>\$17,550</u>	<u>\$17,550</u>

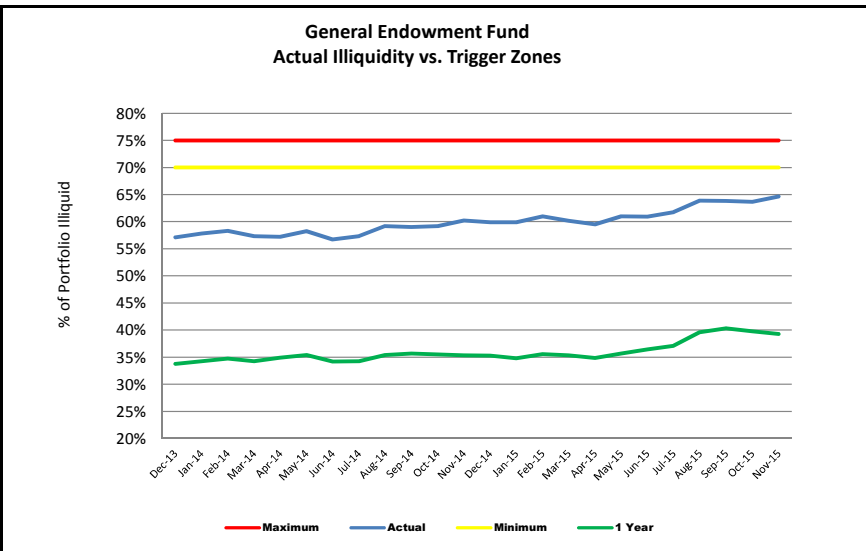


II. GENERAL ENDOWMENT FUND
Investment Reports for Periods Ended November 30, 2015

Prepared in accordance with Texas Education Code Sec. 51.0032

	Fiscal Year to Date							
	Asset Allocation		Returns		Value Added			Total
	Actual	Policy	Portfolio	Policy Benchmark	Tactical Allocation	Active Management		
More Correlated and Constrained:								
Investment Grade	5.1%	6.5%	-0.81%	-0.95%	0.00%	0.00%	0.00%	0.00%
Credit-Related	0.1%	0.0%	2.41%	-1.14%	0.00%	0.00%	0.00%	0.00%
Real Estate	2.5%	2.5%	2.44%	4.52%	0.00%	-0.05%	-0.05%	-0.05%
Natural Resources	5.9%	7.5%	-9.10%	-5.80%	0.12%	-0.25%	-0.13%	-0.13%
Developed Country	13.8%	14.0%	0.52%	3.43%	-0.02%	-0.39%	-0.41%	-0.41%
Emerging Markets	<u>9.7%</u>	<u>9.5%</u>	<u>1.22%</u>	<u>-0.14%</u>	<u>0.00%</u>	<u>0.11%</u>	<u>0.11%</u>	<u>0.11%</u>
Total More Correlated and Constrained	37.1%	40.0%	-1.01%	0.21%	0.10%	-0.58%	-0.48%	-0.48%
Less Correlated and Constrained	30.2%	30.0%	0.09%	-0.47%	-0.10%	0.26%	0.16%	0.16%
Private Investments	<u>32.7%</u>	<u>30.0%</u>	<u>-0.62%</u>	<u>5.14%</u>	<u>-0.09%</u>	<u>-1.68%</u>	<u>-1.77%</u>	<u>-1.77%</u>
Total	<u>100.0%</u>	<u>100.0%</u>	<u>-0.57%</u>	<u>1.52%</u>	<u>-0.09%</u>	<u>-2.00%</u>	<u>-2.09%</u>	<u>-2.09%</u>

(\$ millions)	Summary of Capital Flows		
	Fiscal Year Ended August 31, 2015	Quarter Ended November 30, 2015	Fiscal Year to Date August 31, 2016
Beginning Net Assets	\$8,325	\$8,237	\$8,237
Contributions	230	56	56
Withdrawals	(43)	(2)	(2)
Distributions	(366)	(101)	(101)
Investment Return (Net of Expenses)	<u>91</u>	<u>(48)</u>	<u>(48)</u>
Ending Net Assets	<u>\$8,237</u>	<u>\$8,142</u>	<u>\$8,142</u>

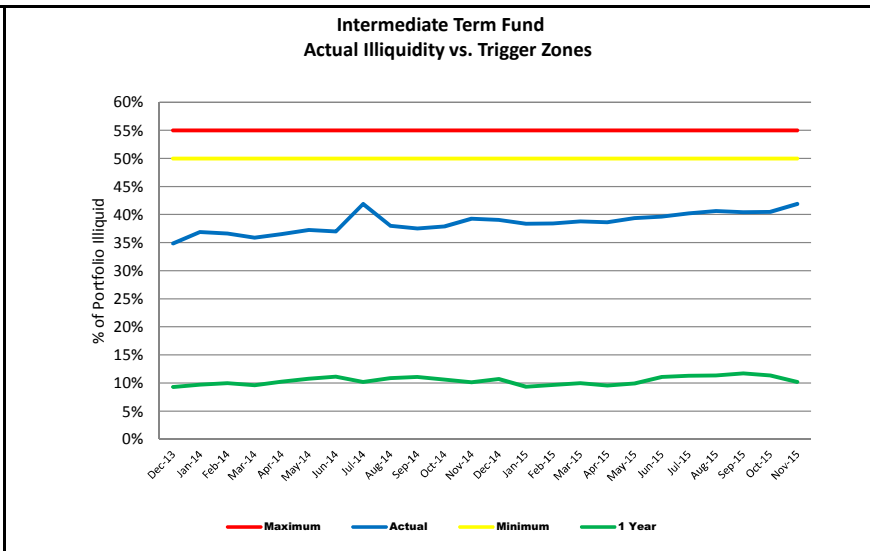


III. INTERMEDIATE TERM FUND
Investment Reports for Periods Ended November 30, 2015

Prepared in accordance with Texas Education Code Sec. 51.0032

	Fiscal Year to Date							
	Asset Allocation		Returns		Value Added			Total
	Actual	Policy	Portfolio	Policy Benchmark	Tactical Allocation	Active Management		
More Correlated and Constrained:								
Investment Grade	29.9%	30.0%	-1.02%	-0.95%	-0.03%	-0.04%	-0.07%	
Credit-Related	0.0%	0.0%	0.00%	0.00%	0.00%	0.00%	0.00%	
Real Estate	2.7%	3.0%	2.44%	4.52%	-0.01%	-0.05%	-0.06%	
Natural Resources	5.3%	7.0%	-9.12%	-5.80%	0.12%	-0.24%	-0.12%	
Developed Country	8.8%	9.0%	0.45%	3.43%	-0.01%	-0.27%	-0.28%	
Emerging Markets	5.7%	6.0%	1.27%	-0.14%	-0.01%	0.08%	0.07%	
Total More Correlated and Constrained	52.4%	55.0%	-1.27%	-0.41%	0.06%	-0.52%	-0.46%	
Less Correlated and Constrained	47.6%	45.0%	0.07%	-0.47%	-0.14%	0.39%	0.25%	
Private Investments	0.0%	0.0%	0.00%	0.00%	0.00%	0.00%	0.00%	
Total	100.0%	100.0%	-0.64%	-0.43%	-0.08%	-0.13%	-0.21%	

(\$ millions)	Summary of Capital Flows		
	Fiscal Year Ended August 31, 2015	Quarter Ended November 30, 2015	Fiscal Year to Date August 31, 2016
Beginning Net Assets	\$6,665	\$7,037	\$7,037
Contributions	1,448	280	280
Withdrawals	(627)	(123)	(123)
Distributions	(210)	(53)	(53)
Investment Return (Net of Expenses)	(239)	(46)	(46)
Ending Net Assets	<u>\$7,037</u>	<u>\$7,095</u>	<u>\$7,095</u>



IV. SEPARATELY INVESTED ASSETS
Summary Investment Report at November 30, 2015
 Report prepared in accordance with *Texas Education Code Sec. 51.0032*

ASSET TYPES	(\$ thousands)															
	FUND TYPE															
	CURRENT PURPOSE DESIGNATED		RESTRICTED		ENDOWMENT & SIMILAR FUNDS		ANNUITY & LIFE INCOME FUNDS		AGENCY FUNDS		TOTAL EXCLUDING OPERATING FUNDS		OPERATING FUNDS (DEBT PROCEEDS AND SHORT TERM FUND)		TOTAL	
BOOK	MARKET	BOOK	MARKET	BOOK	MARKET	BOOK	MARKET	BOOK	MARKET	BOOK	MARKET	BOOK	MARKET	BOOK	MARKET	
Cash & Equivalents:																
Beginning value 08/31/15	-	-	1,534	1,534	68,296	68,296	2,066	2,066	1,782	1,782	73,678	73,678	2,059,386	2,059,386	2,133,064	2,133,064
Increase/(Decrease)	10,247	10,247	2,111	2,111	29,717	29,717	(207)	(207)	(1,043)	(1,043)	40,825	40,825	(163,397)	(163,397)	(122,572)	(122,572)
Ending value 11/30/15	10,247	10,247	3,645	3,645	98,013	98,013	1,859	1,859	739	739	114,503	114,503	1,895,989	1,895,989	2,010,492	2,010,492
Debt Securities:																
Beginning value 08/31/15	-	-	11	11	11,368	11,558	9,100	8,962	-	-	20,479	20,531	-	-	20,479	20,531
Increase/(Decrease)	-	-	-	1	(15)	(4)	(192)	(249)	-	-	(207)	(252)	-	-	(207)	(252)
Ending value 11/30/15	-	-	11	12	11,353	11,554	8,908	8,713	-	-	20,272	20,279	-	-	20,272	20,279
Equity Securities:																
Beginning value 08/31/15	254,383	204,436	211	207	41,957	49,537	12,841	12,408	-	-	309,392	266,588	-	-	309,392	266,588
Increase/(Decrease)	(73,442)	(27,037)	364	368	(525)	510	(307)	(53)	-	-	(73,910)	(26,212)	-	-	(73,910)	(26,212)
Ending value 11/30/15	180,941	177,399	575	575	41,432	50,047	12,534	12,355	-	-	235,482	240,376	-	-	235,482	240,376
Other:																
Beginning value 08/31/15	-	-	5,653	5,653	35	35	570	111	572	572	6,830	6,371	-	-	6,830	6,371
Increase/(Decrease)	-	-	(4,680)	(4,680)	(33)	(33)	(566)	(107)	359	359	(4,920)	(4,461)	-	-	(4,920)	(4,461)
Ending value 11/30/15	-	-	973	973	2	2	4	4	931	931	1,910	1,910	-	-	1,910	1,910
Total Assets:																
Beginning value 08/31/15	254,383	204,436	7,409	7,405	121,656	129,426	24,577	23,547	2,354	2,354	410,379	367,168	2,059,386	2,059,386	2,469,765	2,426,554
Increase/(Decrease)	(63,195)	(16,790)	(2,205)	(2,200)	29,144	30,190	(1,272)	(616)	(684)	(684)	(38,212)	9,900	(163,397)	(163,397)	(201,609)	(153,497)
Ending value 11/30/15	191,188	187,646	5,204	5,205	150,800	159,616	23,305	22,931	1,670	1,670	372,167	377,068	1,895,989	1,895,989	2,268,156	2,273,057

Details of individual assets by account furnished upon request.

UTIMCO 12/15/2015

8. **U. T. System Board of Regents: Approval of an Accreditation Program for Texas State Agencies and Group Purchasing Organizations (GPO Accreditation Program)**

RECOMMENDATION

The Chancellor, the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Health Affairs, and the Vice Chancellor and General Counsel concur in the recommendation of the Executive Vice Chancellor for Business Affairs that the U. T. System Board of Regents approve the Texas state agencies and Group Purchasing Organization (GPO) Accreditation Program and delegate to the Executive Vice Chancellor for Business Affairs the authority to execute the GPO Accreditation Program.

EXECUTIVE SUMMARY

Establishment of the GPO Accreditation Program (details below) was one recommendation included in the GPO/Sole Source Purchasing Working Group Report presented to the Board by the Executive Vice Chancellor for Business Affairs on May 14, 2015. The purpose of the program is to ensure that U. T. System institutions utilize contracts offered by GPOs, including Texas state agencies performing GPO functions, only if the GPOs use sourcing processes accredited by U. T. System as meeting minimum procurement standards.

The GPO Accreditation Program has been developed in consultation with the U. T. System Chief Audit Executive, and it includes a comprehensive survey that interested parties will be required to complete and certify as to its accuracy. The U. T. System Audit Office will conduct an assessment of the survey responses submitted to determine whether the internal controls referenced in the survey meet the minimum procurement standards of the GPO Accreditation Program. A senior-level committee, comprised of experts from business affairs, procurement, legal, and compliance, will review the results and recommend to the Executive Vice Chancellor for Business Affairs, for final decision, a determination as to whether each applicant passes or fails the accreditation process.

The proposed delegation will allow the Executive Vice Chancellor for Business Affairs to ensure the program details are executed fairly and consistently, and he will report the program results to the U. T. System Board of Regents at the August 2016 meeting.

BACKGROUND INFORMATION

Group Purchasing Organization (GPO) Working Group Report:

On May 14, 2015, Executive Vice Chancellor for Business Affairs Kelley presented a comprehensive report to the U. T. System Board of Regents regarding a review of purchasing policies and practices in the procurement of goods and services through methods other than competitive bidding by U. T. System and the U. T. System institutions.

This report contained a recommendation to establish a tiered approach for the use of Texas state agency and GPO-procured contracts by creating an “accreditation” process whereby entities are certified for various levels of use. The process described below provides insights and detailed information on how this accreditation program will be implemented.

Historical Utilization of Texas State Agencies and GPOs:

U. T. System academic and health institutions have been able to make purchases through Texas state agency and GPO-procured contracts for many years under the *Texas Education Code*. The primary benefits in using contracts from the Texas state agencies and GPOs are to save money by using contracts that leverage aggregated spend across members; improve customer service by streamlining the length of time to contract execution; and obtain best practices through other services (e.g., benchmark data) offered.

During Fiscal Year 2014, the U. T. System academic and health institutions made \$680 million in purchases through more than 25 Texas state agencies and GPOs. Of note, over \$620 million (or more than 90%) of those purchases were from the following organizations:

- Premier Healthcare Alliance GPO \$245 million
- The Texas Department of Information Resources (DIR) \$178 million
- U. T. System Supply Chain Alliance \$130 million
- Texas Multiple Awards Schedules (TXMAS) \$ 42 million
- E&I Cooperative Services \$ 25 million

GPO Accreditation Program:

Purpose:

The purpose of the GPO Accreditation Program is to ensure that U. T. System institutions only utilize contracts from Texas state agencies and GPOs that meet with procurement requirements established by the State of Texas and the U. T. System Board of Regents.

Timeline:

If the Board approves the proposed GPO Accreditation Program, the U. T. System Office of Shared Services will manage the process and ensure the results are timely finalized. The results will be reported to the U. T. System Board of Regents at the August 2016 meeting. U. T. System institutions will cease using nonaccredited Texas state agency and GPO-procured contracts as soon as practicable, but by no later than December 1, 2016. A more detailed timeline for the program itself is included as Appendix A ([Page 239](#)).

Process:

The following steps will be undertaken to achieve the GPO Accreditation Program results:

1. U. T. System Shared Services will publicly post details of the program and will notify Texas state agencies and GPOs nominated by any U. T. System institution about the GPO Accreditation Program and activities they will need to perform to be considered for accreditation in calendar year 2016.
2. U. T. System Shared Services has developed a survey that interested Texas state agencies and GPOs will complete and submit for evaluation.

3. U. T. System Shared Services will verify that the material submitted by the participating Texas state agencies and GPOs is responsive and complete. If it is not, U. T. System Shared Services will promptly notify the entity of the missing material.
4. U. T. System Shared Services will make itself available for all interested entities to ensure all entities participating have an equal opportunity to successfully become accredited by U. T. System.
5. The U. T. System Audit Office, as an independent and objective function, will perform an assessment of the material collected from the interested Texas state agencies and GPOs to determine whether internal control procedures as represented by the applicant meet the minimum standards if consistently applied. The results of that assessment will be provided to U. T. System Shared Services for consideration.
6. U. T. System Shared Services will convene a senior-level committee, comprised of experts from business affairs, procurement, legal, and compliance, to review the assessment results from the U. T. System Audit Office and to recommend to the Executive Vice Chancellor for Business Affairs, for final decision, a determination of whether each applicant passes or fails the accreditation process.
7. U. T. System Shared Services, on a go-forward basis, will monitor the results of the GPO Accreditation Program and help to ensure that U. T. System and the U. T. System institutions, as well as the Texas state agencies and GPOs, comply with the GPO Accreditation Program requirements.
8. U. T. System Shared Services will propose adoption by U. T. System institutions of certain best practices for utilizing contracts from the Texas state agencies and GPOs. These might address, for example, how to ensure achievement of best value when using Texas state agencies and GPOs that are accredited but with conditions; and how to deal with U. T. System and institutional policies, such as involving Historically Underutilized Businesses (HUBs), electronic information resources accessibility requirements, insurance requirements, when using Texas state agency and GPO-procured contracts.

Objectives:

The GPO Accreditation Program objectives will be to identify those Texas state agencies and GPOs that:

- meet all best value requirements and have contracts that are ready to be used; or
- satisfy the minimum standards (described below) but have conditions that must be satisfied for any U. T. System institution to use the accreditation candidate's contracts; or
- fail to meet the minimum standards and are not accredited. Consequently, U. T. System institutions will not be authorized to use those contracts.

The entities that successfully pass this program will be accredited for five (5) years; however, U. T. System Shared Services will conduct an annual meeting to review the business relationship with U. T. System and the U. T. System institutions and to learn of any significant changes that may have occurred. Additionally, U. T. System will have the right to audit the records and processes referenced in the accreditation process. Entities that fail to be accredited will be

eligible to reapply in one (1) year. After the initial accreditation process, it is anticipated that accreditation of other GPOs will occur on a periodic basis to align with emerging needs of the U. T. System institutions and with changes to the marketplace.

The following are the minimum standards that must be met to be accredited through the GPO Accreditation Program:

- Established provider with a value-added portfolio of contracts;
- Open bid policy;
- Competitive procurement;
- “Best Value” evaluation and award criteria;
- Contract management program;
- Policy of inclusion (e.g., HUBs and minority and women owned business enterprises programs);
- Compliance with federal procurement requirements; and
- Transparent procurement practices.

Internal Controls Review:

The U. T. System Audit Office, as an independent and objective function, will perform an assessment of the material collected from the interested Texas state agencies and GPOs to determine whether internal control procedures as represented by the applicant meet the minimum standards if consistently applied. The results of that assessment will be provided to U. T. System Shared Services for consideration.

Impact Analysis:

U. T. System:

U. T. System's Office of General Counsel has determined that this accreditation program can legally be implemented.

U. T. System Institutions:

U. T. System Shared Services will proactively identify strategies to lessen, if not eliminate, the administrative burden for any institution that may be negatively impacted by the results of the accreditation program. For example, if an institution presently relies on a Texas state agency or GPO that does not “pass” the accreditation process, other contracting vehicles will need to be identified.

APPENDIX A

Timeline for the Accreditation Program

Date	Activity
March 1, 2016	Publically post the GPO Accreditation Program
March 10, 2016	Process review conference call
April 1, 2016	Survey responses from accreditation candidates are due at 3:00 pm CDT

April 15, 2016	U. T. System Shared Services completes initial review
April 18, 2016	Information provided to U. T. System Audit Office
May 31, 2016	U. T. System Audit Office reports the assessment results
June 1, 2016	U. T. System Shared Services convenes senior-level committee to recommend a determination as to whether each applicant passes or fails the accreditation process
June 8, 2016	The Executive Vice Chancellor for Business Affairs makes the final determination on each applicant
June 15, 2016	U. T. System institutions are notified of the results
June 30, 2016	Texas state agencies and GPOs are notified of the results
August 24 - 25, 2016	The results are reported to the U. T. System Board of Regents at the August 2016 meeting

9. **U. T. System: Report on the Fiscal Year 2015 Annual Financial Report, including the report on the U. T. System Annual Financial Report Audit, and audits of U. T. M. D. Anderson Cancer Center, U. T. Southwestern Medical Center, and U. T. Medical Branch - Galveston financial statements and for funds managed by The University of Texas Investment Management Company (UTIMCO)**

REPORT

Mr. Randy Wallace, Associate Vice Chancellor, Controller, and Chief Budget Officer, will discuss the 2015 Annual Financial Report (AFR) highlights. Mr. Wallace's PowerPoint presentation on [Pages 242 - 254](#) is included for additional detail. The AFR is available at http://www.utsystem.edu/cont/Reports_Publications/CONAFR/AuditedAFR15.pdf.

The AFR is comprised of the U. T. System Consolidated Financial Statements for the Year Ended August 31, 2015, including the Management's Discussion and Analysis that provides an overview of the financial position and activities of the U. T. System for the year ended August 31, 2015.

Mr. Robert Penshorn, Ms. Tracey Cooley, Mr. Robert Cowley, and Mr. Blake Rodgers, Deloitte & Touche LLP, will report on the results of the audits of the U. T. System, U. T. M. D. Anderson Cancer Center, U. T. Southwestern Medical Center, U. T. Medical Branch - Galveston, and funds managed by The University Of Texas Investment Management Company (UTIMCO) for Fiscal Year 2015. Deloitte's PowerPoint presentation is set forth on [Pages 255 - 271](#).

BACKGROUND INFORMATION

On February 6, 2014, the Board of Regents authorized U. T. System staff to negotiate and enter into an auditing services contract with Deloitte & Touche LLP to audit the U. T. System, U. T. M. D. Anderson Cancer Center, U. T. Southwestern Medical Center, U. T. Medical Branch - Galveston, and funds managed by UTIMCO for the fiscal years ending August 31, 2014 and 2015.

The Annual Financial Report is prepared in compliance with Governmental Accounting Standards Board pronouncements and State Comptroller of Public Accounts directives and filed with the oversight agencies on November 20 of each year as required by *Texas Government Code*, Section 2101.011. Deloitte & Touche LLP issued an unqualified opinion on the U. T. System Consolidated Financial Statements on December 11, 2015.

Annual Financial Report Highlights Fiscal Year 2015

Mr. Randy Wallace, Associate Vice Chancellor,
Controller, and Chief Budget Officer

U. T. System Board of Regents' Meeting
Joint Meeting of the Finance and Planning Committee and
Audit, Compliance, and Management Review Committee
February 2016



THE UNIVERSITY of TEXAS SYSTEM
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Objectives

- Discuss Fiscal Year 2015 financial highlights of U. T. System's Annual Financial Report (AFR) by examining a three-year trend of changes in line items on:
 - *Statement of Net Position (SNP)*
 - *Statement of Revenues, Expenses, and Changes in Net Position (SRECNP)*
 - *Statement of Cash Flows*
- Identify factors that contributed to these changes



Required in Annual Financial Report

- Required supplemental information and financial statements include:
 - *Management's Discussion and Analysis (MD&A)*
 - *Statement of Net Position*
 - *SRECNP*
 - *Statement of Cash Flows*
 - *Notes to the Financial Statements*
 - *Required Supplementary Information*



Financial Position FY 2015

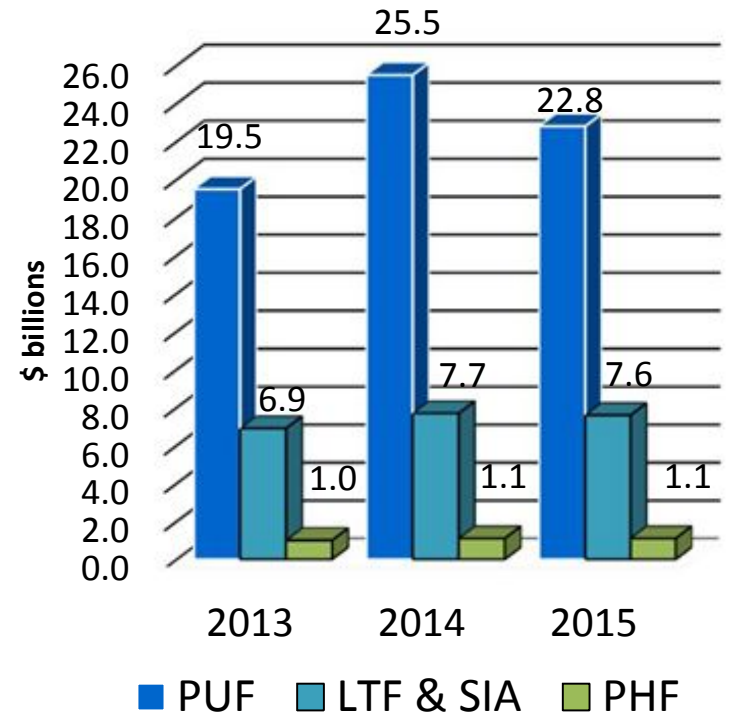
- Statement of net position still strong
 - Assets and Deferred Outflows over \$63 billion
 - Net Position \$40 billion
 - Operating results decreased
 - Cash position increased slightly
- U. T. System's financial position for FY 2015 decreased:
 - \$2.8 billion due to current year activity, primarily driven by declining market conditions and the decrease in fair value of the PUF Lands
 - \$2.6 billion due to GASB 68 restatement for pensions



Statement of Net Position

(\$ in millions)	2013	2014	2015
Assets and Deferred Outflows:			
Current Assets	\$ 6,585.8	7,367.6	7,280.1
Noncurrent Investments	34,003.1	42,240.8	39,881.3
Capital/Intangible Assets, Net	13,144.6	14,057.5	14,827.0
Other Noncurrent Assets	379.2	335.4	414.0
Total Assets	54,112.7	64,001.3	62,402.4
Deferred Outflows	184.1	249.2	740.0
Total Assets and Deferred Outflows	\$ 54,296.8	64,250.5	63,142.4
Liabilities and Deferred Inflows:			
Current Liabilities	\$ 7,203.9	8,121.6	8,493.5
Noncurrent Liabilities	10,104.6	11,051.1	14,257.8
Total Liabilities	17,308.5	19,172.7	22,751.3
Deferred Inflows	8.2	7.1	710.0
Total Liabilities and Deferred Inflows	\$ 17,316.7	19,179.8	23,461.3
Net Position:			
Net Investment in Capital Assets	\$ 5,552.4	6,109.2	6,441.7
Restricted	27,841.2	35,119.7	32,227.2
Unrestricted	3,586.5	3,841.8	1,012.2
Total Net Position	\$ 36,980.1	45,070.7	39,681.1

**Endowment Investments
FY 2013 - 2015**



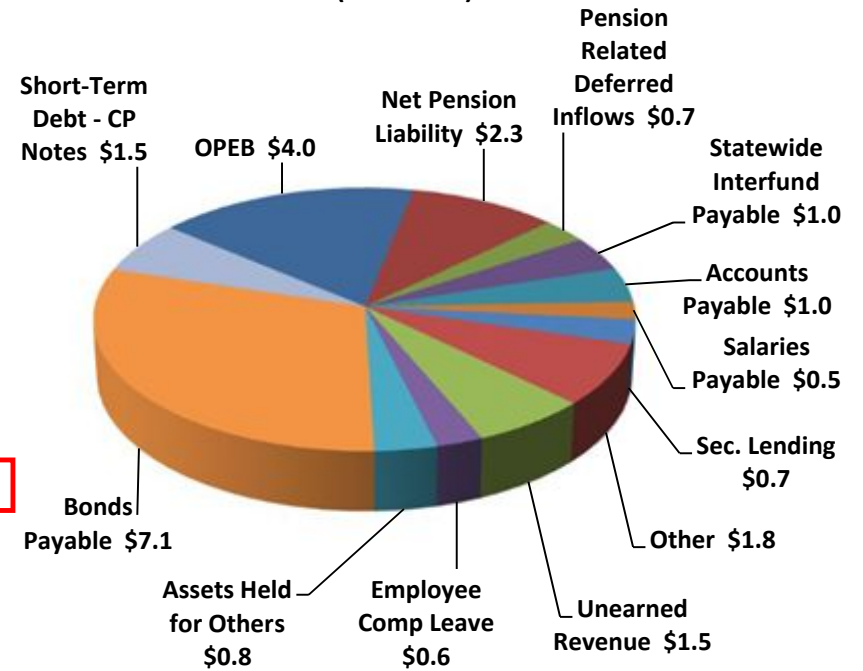
Permanent University Fund (PUF), Long Term Fund (LTF) and Separately Invested Assets (SIA), and Permanent Health Fund (PHF)



Statement of Net Position (cont.)

(\$ in millions)	2013	2014	2015
Assets and Deferred Outflows:			
Current Assets	\$ 6,585.8	7,367.6	7,280.1
Noncurrent Investments	34,003.1	42,240.8	39,881.3
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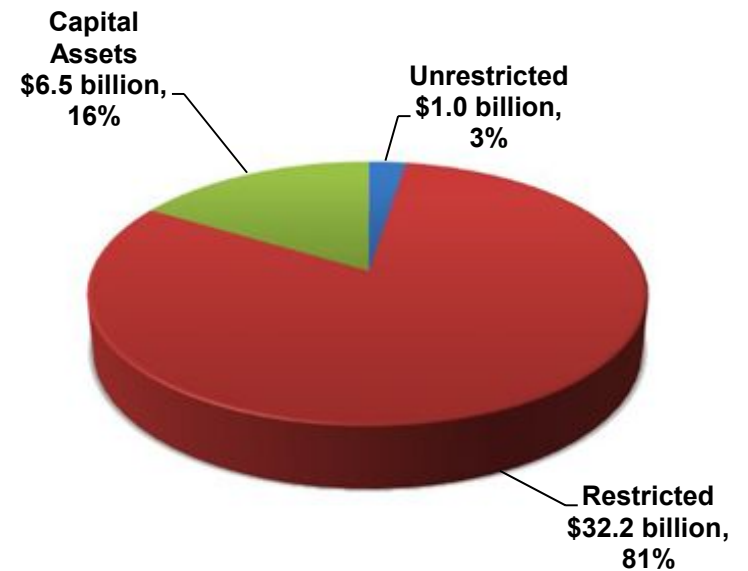
Liabilities and Deferred Inflows
\$23.5 billion
 (in billions)



Statement of Net Position (cont.)

(\$ in millions)	2013	2014	2015
Assets and Deferred Outflows:			
Current Assets	\$ 6,585.8	7,367.6	7,280.1
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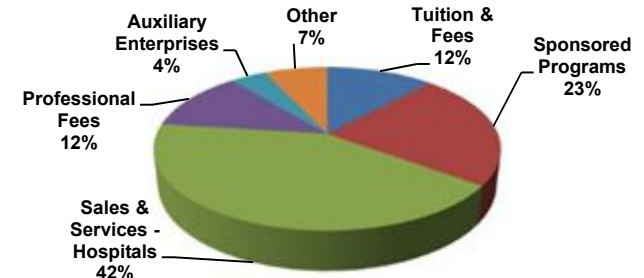
Net Position- \$39.7 billion



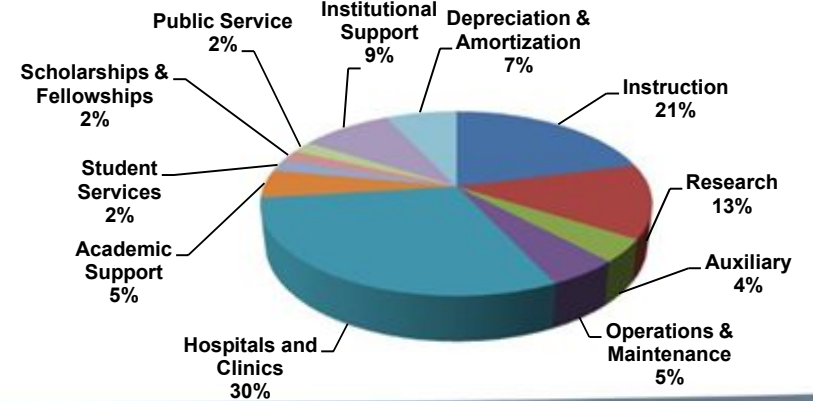
Statement of Revenues, Expenses, and Changes in Net Position

(\$ in millions)	2013	2014	2015
Operating Revenues	\$ 11,041.7	11,643.1	12,635.5
Operating Expenses	(14,391.3)	(14,943.5)	(16,012.0)
Operating Loss	(3,349.6)	(3,300.4)	(3,376.5)
State Appropriations	1,829.4	2,045.0	2,079.1
Gifts & Nonexchange Grants	925.2	751.9	815.2
Net Investment Income	2,128.4	3,159.7	2,808.7
Net Incr./((Decr.) in Fair Value of Investments	2,135.1	5,436.3	(4,675.9)
Interest Expense	(270.6)	(258.3)	(249.9)
Net Other Nonop. Rev. (Exp.)	(47.8)	(37.7)	(30.7)
Income (Loss) Before Other Rev. Exp.	3,350.1	7,796.5	(2,630.0)
Gains/(Losses) & Transfers			
HEAF/Gifts for Endow.& Capital	491.4	731.1	296.9
Transfers and Other	(222.1)	(437.0)	(447.7)
Change in Net Position	3,619.4	8,090.6	(2,780.8)
Net Position, Beginning	33,360.7	36,980.1	45,070.7
Restatement	-	-	(2,608.8)
Net Position, Beginning (as restated)	33,360.7	36,980.1	42,461.9
Net Position, Ending	\$ 36,980.1	45,070.7	39,681.1

Operating Revenues - \$12.6 billion

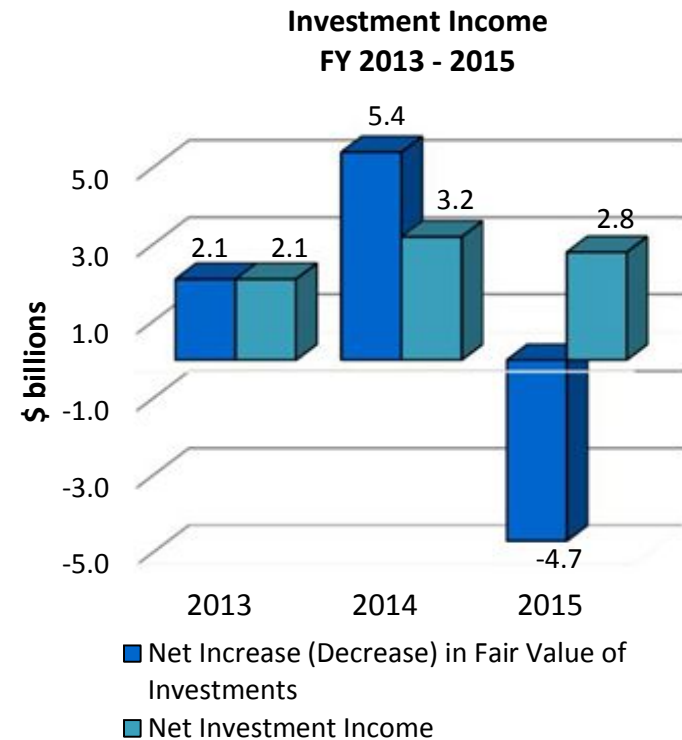


Operating Expenses - \$16.0 billion



Statement of Revenues, Expenses, and Changes in Net Position (cont.)

(\$ in millions)	2013	2014	2015
Operating Revenues	\$ 11,041.7	11,643.1	12,635.5
Operating Expenses	(14,391.3)	(14,943.5)	(16,012.0)
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Statement of Revenues, Expenses, and Changes in Net Position (cont.)

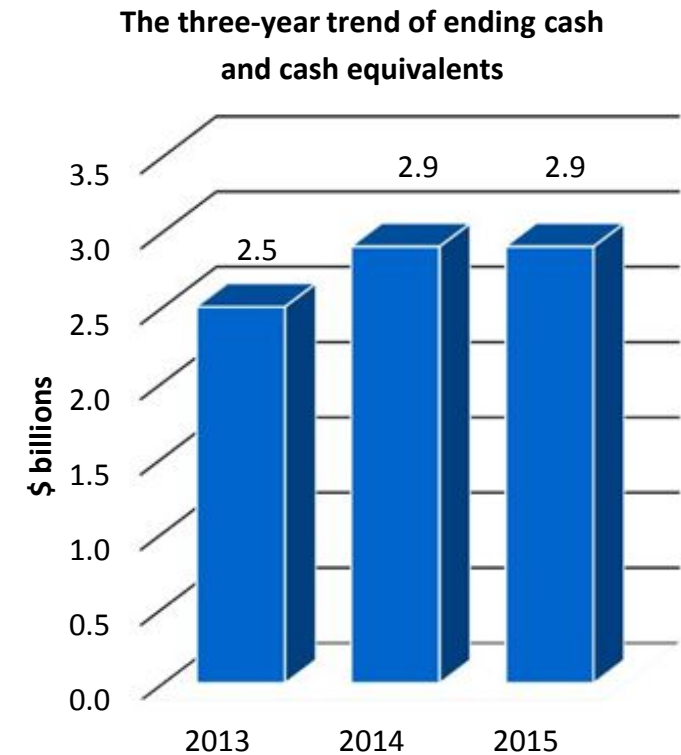
Operating Results FY 2013 - 2015

	<u>2013</u>	<u>2014</u>	<u>2015</u>
		(\$ in millions)	
Income (loss) before other revenue, expenses, gains/(losses) & transfers	\$ 3,350.1	7,796.5	(2,630.0)
Net (increase)/decrease in fair value of investments	(2,135.1)	(5,436.3)	4,675.9
Loss on sale of capital assets	21.5	35.3	36.5
Other nonoperating (income)/expense	26.4	2.3	(5.7)
Realized gains on investments	(864.6)	(1,497.5)	(1,459.9)
Net operating results	\$ 398.3	900.3	616.8



Cash Flows

	2013	2014	2015
<i>(\$ in millions)</i>			
Cash Flows:			
Cash received from operations	\$ 10,870.8	11,776.2	12,889.9
Cash expended for operations	(12,626.4)	(13,280.4)	(14,304.2)
Cash used for operating activities	(1,755.6)	(1,504.2)	(1,414.3)
Cash provided by noncapital financing activities	2,682.0	2,171.2	2,203.2
Cash used in capital & related financing activities	(1,797.9)	(1,353.0)	(1,736.2)
Cash provided by investing activities	939.1	1,040.0	986.5
Net increase in cash & cash equivalents	67.6	354.0	39.2
Cash & cash equivalents, Beginning of the year	2,459.8	2,527.4	2,881.4
Cash & Cash equivalents, End of the year	\$ 2,527.4	2,881.4	2,920.6



Permanent University Fund (PUF) Lands

PUF Lands are considered an investment by U. T. System

- Fair Value (FV) of PUF Lands is based on:
 - Third party reserve study of proved reserves, and
 - Percentage of probable and possible reserves
- PUF Lands' surface interests reported at estimated appraised value using American Society of Farm Managers and Rural Appraisers' trends issued by Texas A&M University
- Other real estate holdings are reported by:
 - Latest available appraised amount by State certified or licensed appraiser, or
 - Any other generally accepted industry standard



Upcoming Accounting Pronouncements

- GASB Statement No. 72, *Fair Value Measurement and Application*, effective 2016
 - U. T. System will have fair value Horizon Fund and Tech Stock investments beginning Fiscal Year 2016
 - Plan to engage the assistance of an outside valuation firm in this effort
 - Still evaluating other effects of this statement
 - Plan to implement Tech Stock accounting policy in 2016
- GASB Statement No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions*, effective 2018





Presentation to The University of Texas System Board of Regents' Joint Meeting of the Audit, Compliance and Management Review Committee and the Finance and Planning Committee

Robert Peshorn, Advisory and Information Technology Partner
Tracey Cooley, Director
Robert Cowley, Partner
Blake Rodgers, Senior Manager

Deloitte & Touche LLP
February 2016



This report is intended solely for the information and use of management, the Audit, Compliance and Management Review Committee of the Board of Regents, the Finance and Planning Committee of the Board of Regents, and others within the organization and is not intended to be and should not be used by anyone other than these specified parties.

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Audit Status

- We have performed an audit of the consolidated financial statements of The University of Texas System (“the System”) for the year ended August 31, 2015 in accordance with auditing standards generally accepted in the United States of America and *Government Auditing Standards*.
- As a part of this audit process we issued our report, dated December 11, 2015, on internal control over financial reporting and on compliance and other matters based on an audit of financial statements performed in accordance with *Government Auditing Standards* for the year ended August 31, 2015.
- We completed our audits of the Permanent University Fund (“PUF”), the General Endowment Fund (“GEF”), the Long Term Fund (“LTF”), the Intermediate Term Fund (“ITF”), and Permanent Health Fund (“PHF”) of The University of Texas Investment Management Company (“UTIMCO”) for the year ended August 31, 2015 and rendered our reports on October 30, 2015.
- We also completed our stand-alone audits for U. T. M. D. Anderson Cancer Center (“M. D. Anderson”) on December 10, 2015, for U. T. Southwestern Medical Center on December 9, 2015, and for U. T. Medical Branch - Galveston on December 8, 2015 for the year ended August 31, 2015.
- We have prepared the following comments to provide information about the external audit process in the context of your obligation to oversee the financial reporting and disclosure process for which management of the System, UTIMCO, and the U. T. institutions with stand-alone audits are responsible.
- Although not within the scope of this presentation, we have begun stand-alone review services at U. T. El Paso for the year ended August 31, 2015.

Audit Scope

- Our audit scope was outlined in our External Audit Plan dated October 2015 and was not restricted in any manner.
- No significant changes resulted from the execution of the External Audit Plan.
- Our auditing procedures addressed the areas of focus identified in our External Audit Plan dated October 2015; these areas included:
 - Valuation of Patient Accounts Receivable
 - Oil & Gas Reserve and Related Surface Land Valuation and Disclosure
 - Implementation of Governmental Accounting Standards Board (“GASB”) Statement No. 68
 - Management Override of Controls

Management Judgments and Accounting Estimates

- Accounting estimates are an integral part of the consolidated financial statements prepared by management and are based on management's current judgments. Those judgments are ordinarily based on knowledge and experience about past and current events and on assumptions about future events. Our assessment of the significant accounting estimates reflected in the System's Fiscal Year ("FY") 2015 consolidated financial statements include the following:
 - Allowances for accounts receivable and discounts
 - Fair value of alternative investments
 - Fair value of PUF lands
 - Liabilities for defined benefit pensions and other post-employment benefits
 - Liabilities for medical malpractice, workers' compensation, and other self-insured risks
- There were no material changes in management judgments relating to such estimates in the System's FY 2015 financial statements other than the estimate of the net pension liability and related balances for defined benefit pensions, which resulted from the implementation of GASB Statements No. 68 and 71. Our opinion included an emphasis of a matter paragraph related to this.

Audit Adjustments and Uncorrected Misstatements

- Our audit of the consolidated financial statements was designed to obtain reasonable, rather than absolute, assurance about whether the consolidated financial statements are free of material misstatement, whether caused by error or fraud. There were no material misstatements that were brought to the attention of management as a result of our audit procedures.
- All proposed unrecorded audit adjustments were reviewed with management and were determined by management and the System to be immaterial, both individually and in the aggregate, to the financial statements taken as a whole.

Summary of Uncorrected Misstatements

- There were three passed adjustments identified during our audit of U. T. System Administration:
 - The first adjustment related to gas royalties of \$7.4M recognized in FY 2015 that related to production months in FY 2013 and FY 2014. This represents an overstatement of revenue in FY 2015 and an understatement of revenue in FY 2013 and FY 2014. As this was a representative sample, the overstatement was projected to be \$22.6M, for a total projected misstatement of \$29.9M.
 - The second adjustment related to the reclassification of endowments from Restricted (Nonexpendable) to Restricted (Expendable) of \$12.3M, as gross appreciation for endowments was recorded as a whole without considering the endowments with lower market values. This results in understating Restricted (Expendable) and overstating Restricted (Nonexpendable).
 - The third adjustment related to U. T. System Administration erroneously including the State's contributions to the Teacher Retirement System of Texas ("TRS") on behalf of U. T. for certain institutions in the calculation of the deferred outflow of resources related to employer contributions after the measurement date. This resulted in an overstating deferred outflows of resources by \$10.4M.

Summary of Uncorrected Misstatements (cont.)

- There were two passed adjustments identified during our audit of M. D. Anderson.
 - There was a reclassification of the Physicians Referral Service Supplemental Retirement / Retirement Benefit Deferred Compensation Plan (“PRS”) from long term asset and liability to short term in the amount of \$44 million. There was a similar passed adjustment in the prior year.
 - There were four separate errors identified involving an inpatient or Anatomical Therapeutic Chemical (“ATC”) patient being charged for a drug not administered resulting in a factual overstatement of approximately \$1,000. As this was a representative sample, the overstatement was projected to be \$51M, for a total projected misstatement of \$51M.
- There was one passed adjustment at U. T. San Antonio of \$13.8M related to the bank balance not reconciling to the general ledger. The unreconciled difference as well as issues with the timeliness of cash reconciliations correspond with the implementation of PeopleSoft. There was a similar passed adjustment in the prior year.
- There was one passed adjustment at U. T. Arlington related to completed construction projects that were not moved from construction-in-progress to depreciable capital assets. The errors identified totaled \$4.7M, but as these were representative samples, a projected error of \$8.8M was calculated. This results in a total projected misstatement of \$13.4M.

Summary of Uncorrected Misstatements (cont.)

- There was one passed adjustment at U. T. Southwestern Medical Center related to Cash Flows from Operating Activities to reclassify \$79.2M from Payments to Suppliers to Payments to Employees and \$32.5M from Proceeds from Other Revenues to Proceeds from Sponsored Programs. This is only a presentation adjustment that has no net effect to the total Cash Flows from Operating Activities.
- There was one passed disclosure at U. T. Southwestern Medical Center related to an likely understatement of \$30.6M in the amount disclosed for bad debt allowance for patient accounts receivable. This passed disclosure has no effect on the amounts reported on the Statement of Net Position for the year ended August 31, 2015.
- The Texas State Comptroller's Office has decided not to allocate Employee Retirement System of Texas ("ERS") pension amounts to proprietary funds at the State-wide financial statement level due to immateriality. As a result, there is no ERS pension net pension liability nor related disclosures reported in the System's financial statements that would have been required by GASB Statement No. 68. ERS has estimated the System's proportionate share of the collective net pension liability to be approximately \$8.1M and the effect on net position to be a decrease of approximately \$7.7M as of August 31, 2015 (using a measurement date of August 31, 2014).

Summary of Uncorrected Misstatements (cont.)

Effect of Uncorrected Misstatements on Financial Statements (in millions)

Adjustment	Consolidated Statement of Net Position			Consolidated Statement of Revenues, Expenses, and Changes in Net Position			Consolidated Statement of Cash Flows			
	Total Assets and Deferred Outflows	Total Liabilities and Deferred Inflows	Net Position	Operating Revenues	Operating Expenses	Nonoperating Revenues & Expenses, and Other Changes	Cash Flows from Operating Activities	Cash Flows from Noncapital Financing Activities	Cash Flows from Capital and Related Financing Activities	Cash Flows from Investing Activities
1. M. D. Anderson adjustment of known and likely ATC Pharmacy Revenue error	\$ (51.0)	\$ -	\$ -	\$ (51.0)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2. M. D. Anderson reclassification of PRS deferred compensation plan	44.6 (44.6)	44.6 (44.6)	- -	- -	- -	- -	- -	- -	- -	- -
3. U. T. System Administration removal of prior year known and likely mineral rights income recognized in current year	-	-	(29.9)	-	-	(29.9)	-	-	-	-
4. U. T. System Administration reclassification of net position related to endowments	- -	- -	12.3 (12.3)	- -	- -	- -	- -	- -	- -	- -
5. U. T. System Administration correction of overstated deferred outflow related to FY15 pension contributions	(10.4)	-	-	-	(10.4)	-	-	-	-	-
6. U. T. San Antonio cash misstatement	(13.8)	-	-	-	(13.8)	-	-	-	-	-
7. U. T. Arlington completed construction projects still in construction in progress	13.4 (13.4)	- -	- -	- -	- -	- -	- -	- -	- -	- -
8. U. T. Southwestern Medical Center reclassifications within cash flows from operating activities increasing proceeds from sponsored programs (\$32.5) and payments to employees (\$79.2) and decreasing proceeds from other revenues (\$32.5) and payments to suppliers (\$79.2)	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	79.2 (79.2) 32.5 (32.5)	- - - -	- - - -
Total Uncorrected Adjustments (in millions)	\$ (75.2)	\$ -	\$ (29.9)	\$ (51.0)	\$ (24.1)	\$ (29.9)	\$ -	\$ -	\$ -	\$ -
Original Total Amounts (in millions)	\$ 63,142.5	\$ 23,461.3	\$ 39,681.1	\$ 12,635.5	\$ (16,011.9)	\$ (595.7)	\$ (1,414.3)	\$ 2,203.3	\$ (1,736.2)	\$ 986.5
Total Amounts if Corrected (in millions)	\$ 63,067.3	\$ 23,461.3	\$ 39,651.2	\$ 12,584.4	\$ (16,036.1)	\$ (625.7)	\$ (1,414.3)	\$ 2,203.3	\$ (1,736.2)	\$ 986.5

Significant Accounting Policies

- The System's significant accounting policies, as determined by management, are set forth in Note 4 to the System's FY 2015 financial statements.
- During the year ended August 31, 2015, System implemented GASB Statements No. 68, *Accounting and Financial Reporting for Pensions – An Amendment of GASB Statement No. 27*, and No. 71, *Pension Transition for Contributions Made Subsequent to the Measurement Date – an amendment of GASB Statement No. 68*. Other than this, there were no significant changes in previously adopted accounting policies or their application.
- We have evaluated the significant qualitative aspects of the System's accounting practices, including accounting policies, accounting estimates and financial statement disclosures and concluded that the policies are appropriate, adequately disclosed, and consistently applied by management.

Additional Matters

- Generally accepted auditing standards required that certain additional matters be communicated to an entity’s audit committee in connection with the performance of an audit:
 - Auditor’s responsibility under generally accepted auditing standards (“GAAS”) and Government Auditing Standards (“GAS”) – The objective of a financial statement audit is to express an opinion on the fairness of the presentation of the System’s financial statements for the year ended August 31, 2015, in conformity with accounting principles generally accepted in the United States of America (“generally accepted accounting principles”), in all material respects. Our responsibilities under GAAS and GAS include forming and expressing an opinion about whether the financial statements that have been prepared by management with the oversight of the Audit, Compliance, and Management Review Committee are presented fairly, in all material respects, in conformity with generally accepted accounting principles. The audit of the financial statements does not relieve management or the Audit, Compliance, and Management Review Committee of their responsibilities.
 - An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on our judgment, including the assessment of the risks of material misstatement of the financial statements, whether caused by fraud or error. In making those risk assessments, we considered internal control over financial reporting relevant to the System’s preparation and fair presentation of the financial statements in order to design audit procedures that were appropriate in the circumstances but not for the purpose of expressing an opinion on the effectiveness of the System’s internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the System’s internal control over financial reporting. Our consideration of internal control over financial reporting was not designed to identify all deficiencies in internal control over financial reporting that might be significant deficiencies or material weaknesses.

Additional Matters (cont.)

Matters to be communicated:

- Disagreements with management – None
- Consultation with other accountants – None
- Significant issues discussed with management prior to our retention – None
- Significant issues discussed with management during the year – None
- Significant difficulties in performing the audit – None
- Management's representations – We have made specific inquiries of the System's management about the representations embodied in the financial statements. Additionally, we have requested that management provide to us the written representations the System is required to provide to its independent auditors under generally accepted auditing standards.

Control-related Matters

- A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis.
- A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.
- A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.
- No material weaknesses were identified at the Systemwide level.

Control-related Matters (cont.) – Systemwide Significant Deficiency

- Deloitte & Touche has identified a significant deficiency (“SD”) related to the Bank Reconciliation and Journal Entry Review Process – Post-PeopleSoft Implementation – across multiple academic institutions. This is a continuation of the prior year significant deficiency.
- In the prior year, multiple U. T. academic institutions had control deficiencies as a result of the implementation of the new PeopleSoft system. After the go-live date of May 1, 2014, through the end of the fiscal year, August 31, 2014 (FY 2014) and 2015 (FY 2015), we noted the following:
 - *Monthly bank reconciliations* – Multiple academic institutions did not perform or review bank reconciliations on their various cash accounts in a timely manner. Further, we noted significant unreconciled items on bank reconciliations as of August 31, 2014 and 2015. While some progress was made on these unreconciled items in FY 2015, the matters were not fully resolved.
 - *Journal entry approvals* – We noted that configurations within PeopleSoft allow certain people the ability to create and approve their own journal entry. Management at these institutions appear to have established manual controls to mitigate this risk and we did not note any exceptions to the manual journal entry review controls; however, we believe there should be proper segregation of duties with PeopleSoft to prevent users from creating and approve their own journal entries.

The lack of timely performance of monthly reconciliations of cash accounts and a lack of review of journal entries could potentially lead to significant misstatements on the System’s Annual Financial Report.

Control-related Matters (cont.) – Other Stand-Alone Audits

- We did not identify any material weaknesses in our audits of M. D. Anderson, U. T. Southwestern Medical Center, U. T. Medical Branch - Galveston, or the PUF, GEF, LTF, ITF and PHF of UTIMCO.



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FOR
ACADEMIC AFFAIRS COMMITTEE**

Committee Meeting: 2/10/2016

Board Meeting: 2/11/2016
Galveston, Texas

Ernest Aliseda, Chairman
Alex M. Cranberg
R. Steven Hicks
Brenda Pejovich
Sara Martinez Tucker

	Committee Meeting	Board Meeting	Page
Convene	<i>2:00 p.m.</i> <i>Chairman Aliseda</i>		
1. U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, referred for Committee consideration	<i>2:00 p.m.</i> Discussion	Action	273
2. U. T. System: Discussion regarding tuition and fee proposals for the academic institutions for Fiscal Years 2017 and 2018	<i>2:02 p.m.</i> Discussion <i>Academic Presidents</i> <i>Dr. Leslie</i>	Not on Agenda	274
Adjourn	<i>4:00 p.m.</i>		

1. **U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, referred for Committee consideration**

RECOMMENDATION

The proposed Consent Agenda is located at the back of the book. Consent Agenda items assigned to this Committee are on [Pages 443 - 617](#).

2. U. T. System: Discussion regarding tuition and fee proposals for the academic institutions for Fiscal Years 2017 and 2018

DISCUSSION

Chancellor McRaven will introduce a discussion regarding the proposed tuition and fee proposals for the U. T. System academic institutions for FY 2017 and FY 2018, including the U. T. Rio Grande Valley medical school for FY 2018, with comments on the deliberative process used to review the institution's proposals.

Executive Vice Chancellor Leslie will outline the institutions' proposals and recommendations utilizing the PowerPoint presentation as set forth on Pages [275 - 292](#), and the following institutional Presidents will be available to address any questions regarding the proposals for the respective academic institutions:

- U. T. Arlington, President Karbhari, Pages [293 - 294](#)
- U. T. Austin, President Fennes, Pages [295 - 296](#)
- U. T. Dallas, President *ad interim* Wildenthal, Page [297](#)
- U. T. El Paso, President Natalicio, Pages [298 - 299](#)
- U. T. Permian Basin, President Watts, Pages [300 - 301](#)
- U. T. Rio Grande Valley, President Bailey, Page [302](#)
- U. T. San Antonio, President Romo, Pages [303 - 304](#)
- U. T. Tyler, President Mabry, Pages [305 - 306](#)

U. T. System Academic Institutions Requests for Increases in Total Academic Cost for FY 2017 and FY 2018

Dr. Steve W. Leslie, Executive Vice Chancellor for Academic Affairs

U. T. System Board of Regents' Meeting
Academic Affairs Committee
February 2016



THE UNIVERSITY of TEXAS SYSTEM
FOURTEEN INSTITUTIONS. UNLIMITED POSSIBILITIES.

WWW.UTSYSTEM.EDU

U. T. SYSTEM ACADEMIC INSTITUTIONS – REQUESTS FOR INCREASES IN TOTAL ACADEMIC COST FOR FY 2017 AND FY 2018

“Campuses are authorized to proceed with **consultative processes that engage students** who are representative of the student body to develop recommendations for increases in **tuition and required fees for FY 2017 and FY 2018.**”

“May include an increase of **2% per year to account for cost escalation** as well as reasonable and prudent additional increases that address **issues of greatest institutional priority.**”

“All requests must be well justified and must address issues of **student affordability.**”



UNIVERSITY OF TEXAS AT AUSTIN

	Fall 2015 Total Academic Cost	Proposed Fall 2016 Total Academic Cost	Avg. Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Average Increase Fall 2016
RESIDENT UNDERGRADUATE	\$4,903	\$5,055	\$152	\$5,207	\$152
NON-RESIDENT UNDERGRADUATE	\$17,338	\$17,863	\$525	\$18,399	\$536
RESIDENT GRADUATE	\$4,436	\$4,574	\$138	\$4,711	\$137
NON-RESIDENT GRADUATE	\$8,558	\$8,851	\$263	\$9,116	\$265

**AVERAGE INCREASE FOR RESIDENT UNDERGRADUATES
WITHOUT ANY GRANT OR SCHOLARSHIP AID:**

\$10 PER WEEK 1st YEAR

PROJECTED NEW NET REVENUE

Year 1	\$15.7 Million
Year 2	\$15.7 Million



UNIVERSITY OF TEXAS AT AUSTIN: KEY PRIORITIES



ADVANCING STUDENT SUCCESS

Evidence-based student success initiatives that continue progress toward four-year graduation rate goal



FACULTY SUPPORT

Continue to close gaps in lagging faculty salary competitiveness compared with Association of American Universities public flagship universities; faculty retention and recruitment strategies that focus on gender equity



UNIVERSITY OF TEXAS AT ARLINGTON

	Fall 2015 Total Academic Cost	Proposed Fall 2016 Total Academic Cost	Avg. Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Avg. Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$4,646	\$4,808	\$162	\$4,976	\$168
NON-RESIDENT UNDERGRADUATE	\$10,764	\$11,460	\$696	\$12,201	\$741
RESIDENT GRADUATE	\$4,259	\$4,409	\$150	\$4,564	\$155
NON-RESIDENT GRADUATE	\$8,136	\$8,658	\$522	\$9,214	\$556

AVERAGE INCREASE FOR RESIDENT UNDERGRADUATES
WITHOUT ANY GRANT OR SCHOLARSHIP AID:

\$11 PER WEEK 1st YEAR

PROJECTED NEW NET REVENUE	
Year 1	\$7.35 Million
Year 2	\$7.54 Million



UNIVERSITY OF TEXAS AT ARLINGTON: KEY PRIORITIES



ENHANCING STUDENT ACCESS AND SUCCESS

Extend supplemental instruction and tutoring



INCREASING FACULTY EXCELLENCE, NUMBERS, AND STAFF SUPPORT

Address market equity adjustments to retain and recruit critical faculty and staff



ENHANCED STUDENT SUPPORT

New and expanded services offered in student health (medical fee); improved staff to student ratio in the Career Development Center (student services fee); expanded bus routes for students (shuttle bus fee); upgrade technology capabilities and wireless access points (technology fee); and sustain ongoing efforts to improve campus security (designated tuition)



UNIVERSITY OF TEXAS AT DALLAS

	Fall 2015 Total Academic Cost, First Time Entering Cohort	Proposed Fall 2016 Total Academic Cost	Avg. Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Avg. Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$6,143	\$6,536	\$393	\$6,954	\$418
NON-RESIDENT UNDERGRADUATE	\$16,324	\$17,369	\$1,045	\$18,480	\$1,111
RESIDENT GRADUATE	\$6,138	\$6,660	\$522	\$7,153	\$493
NON-RESIDENT GRADUATE	\$11,561	\$12,763	\$1,202	\$13,835	\$1,072

AVERAGE INCREASE FOR RESIDENT UNDERGRADUATES WITHOUT ANY GRANT OR SCHOLARSHIP AID:

\$26 PER WEEK 1st YEAR;

4-Year Guarantee

PROJECTED NEW NET REVENUE

2016 Cohort	\$10.8 Million
2017 Cohort	\$10.4 Million



UNIVERSITY OF TEXAS AT DALLAS: KEY PRIORITIES



INCREASING STUDENT SUCCESS

Improve undergraduate/graduate advising and international education; expand undergraduate research opportunities



FACULTY SUPPORT

Salary program to address promotions, equity, and market value



ENHANCED STUDENT SERVICES

Technology and infrastructure improvements (technology fee); increase study abroad opportunities (international education fee)



UNIVERSITY OF TEXAS AT EL PASO

	Fall 2015 Total Academic Cost	Proposed Fall 2016 Total Academic Cost	Avg. Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Avg. Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$3,631	\$3,794	\$163	\$3,965	\$171
NON-RESIDENT UNDERGRADUATE	\$9,581	\$10,012	\$431	\$10,462	\$450
RESIDENT GRADUATE	\$2,690	\$2,812	\$122	\$2,938	\$126
NON-RESIDENT GRADUATE	\$6,281	\$6,564	\$283	\$6,860	\$296

**AVERAGE INCREASE FOR RESIDENT UNDERGRADUATES
WITHOUT ANY GRANT OR SCHOLARSHIP AID:**

\$11 PER WEEK 1st YEAR

PROJECTED NEW NET REVENUE	
Year 1	\$6.4 Million
Year 2	\$6.7 Million



UNIVERSITY OF TEXAS AT EL PASO: KEY PRIORITIES



INCREASING STUDENT SUCCESS

Advising, tutoring, internships, campus employment, mentoring, and financial literacy



FACULTY SUPPORT

Conduct highly intentional faculty hiring; bring average faculty salary closer to peers; and address compensation levels for graduate teaching assistants



ENHANCED STUDENT SERVICES

Mobile device support and equipment/software costs (technology fee); maintain access to research materials (library fee); retention and student life (student services fee); and funding for student-supported green initiatives (sustainability fee)



UNIVERSITY OF TEXAS AT SAN ANTONIO

	Fall 2015 Total Academic Cost	Proposed Fall 2016 Total Academic Cost	Avg. Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Avg. Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$4,556	\$4,848	\$292	\$5,139	\$291
NON-RESIDENT UNDERGRADUATE	\$10,632	\$11,314	\$682	\$11,994	\$680
RESIDENT GRADUATE	\$3,733	\$3,972	\$239	\$4,211	\$239
NON-RESIDENT GRADUATE	\$10,912	\$11,612	\$700	\$12,309	\$697

**AVERAGE INCREASE FOR RESIDENT UNDERGRADUATES
WITHOUT ANY GRANT OR SCHOLARSHIP AID:**

\$19 PER WEEK 1st YEAR

PROJECTED NEW NET REVENUE

Year 1	\$11.9 Million
Year 2	\$12.8 Million



UNIVERSITY OF TEXAS AT SAN ANTONIO: KEY PRIORITIES



INCREASING STUDENT SUCCESS

Improve retention and time to degree through graduation rate improvement plan initiatives (advising, mentoring, software, and increased financial aid)



FACULTY SUPPORT

Fund the Gold Star Initiative (recruitment of top-tier researchers)



ENHANCED STUDENT SERVICES (FEES)

Medical and mental health services, student engagement, study abroad, library resources, support for student athletes, student-selected sustainability initiatives, university programming, and recreational services



UNIVERSITY OF TEXAS OF THE PERMIAN BASIN

	Fall 2015 Total Academic Cost	Proposed Fall 2016 Total Academic Cost	Avg. Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Avg. Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$3,283	\$3,480	\$197	\$3,631	\$151
NON-RESIDENT UNDERGRADUATE	\$9,658	\$9,854	\$196	\$10,006	\$152
RESIDENT GRADUATE	\$2,021	\$2,139	\$118	\$2,235	\$96
NON-RESIDENT GRADUATE	\$5,531	\$5,649	\$118	\$5,745	\$96

**AVERAGE INCREASE FOR RESIDENT UNDERGRADUATES
WITHOUT ANY GRANT OR SCHOLARSHIP AID:**

\$13 PER WEEK 1st YEAR

PROJECTED NEW NET REVENUE

Year 1	\$1.2 Million
Year 2	\$0.96 Million



UNIVERSITY OF TEXAS OF THE PERMIAN BASIN: KEY PRIORITIES



INCREASING STUDENT SUCCESS

Student success collaborative and predictive analytics that support retention and graduation



FACULTY SUPPORT

Recruit and support faculty in current and newly developed academic programs



ENHANCED STUDENT SUPPORT

Upgrades to library collection and campus safety efforts



UNIVERSITY OF TEXAS RIO GRANDE VALLEY

	Fall 2015 Total Academic Cost, First Time Entering Cohort	Proposed Fall 2016 Total Academic Cost	Avg. Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Avg. Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$3,650	\$3,724	\$74	\$3,798	\$74
NON-RESIDENT UNDERGRADUATE	\$9,500	\$9,574	\$74	\$9,648	\$74
RESIDENT GRADUATE	\$3,249	\$3,304	\$55	\$3,360	\$56
NON-RESIDENT GRADUATE	\$6,759	\$6,814	\$55	\$6,870	\$56

AVERAGE INCREASE FOR RESIDENT UNDERGRADUATES
WITHOUT ANY GRANT OR SCHOLARSHIP AID:

\$5 PER WEEK 1st YEAR;
4-Year Guarantee

PROJECTED NEW NET REVENUE

Year 1	\$0.52 Million
Year 2	\$1.63 Million



UNIVERSITY OF TEXAS RIO GRANDE VALLEY: KEY PRIORITIES



INCREASING STUDENT ACCESS AND SUPPORT

Expand course and program offerings and provide more student employment opportunities on campuses



INCREASE THE NUMBER OF HIGHLY QUALIFIED TEACHING FACULTY



UNIVERSITY OF TEXAS AT TYLER

	Fall 2015 Total Academic Cost	Proposed Fall 2016 Total Academic Cost	Average Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Average Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$3,656	\$3,801	\$145	\$3,961	\$160
NON-RESIDENT UNDERGRADUATE	\$9,618	\$9,771	\$153	\$9,946	\$175
RESIDENT GRADUATE (Masters)	\$2,909	\$3,044	\$136	\$3,225	\$181
NON-RESIDENT GRADUATE (Masters)	\$6,441	\$6,581	\$140	\$6,735	\$154

**AVERAGE INCREASE FOR RESIDENT UNDERGRADUATES
WITHOUT ANY GRANT OR SCHOLARSHIP AID:**

\$10 PER WEEK 1st YEAR

PROJECTED NEW NET REVENUE

Year 1	\$2.0 Million
Year 2	\$2.2 Million



UNIVERSITY OF TEXAS AT TYLER: KEY PRIORITIES



STUDENT SUCCESS INITIATIVES

Supplemental instruction, tutoring, and initiatives to support timely degree completion



FACULTY SUPPORT

Market parity for faculty and staff salaries; startup costs for new faculty members



ENHANCED STUDENT SUPPORT

Advisors and initiatives to support seamless transition for high school and community college students; fee referenda for recreational, athletics, and student services fee increase



Summary of Proposed Tuition and Fee Plans: U. T. ARLINGTON

FALL 2016 and
FALL 2017

Summary of Proposed Traditional Rate Plans

	Fall 2015 Total Academic Cost Baseline	Proposed Fall 2016 Total Academic Cost	Requested Percentage Increase over Fall 2015	Average Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Requested Percentage Increase over Fall 2016	Average Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$4,646	\$4,808	3.5%	\$162	\$4,976	3.5%	\$168
NON-RESIDENT UNDERGRADUATE	\$10,764	\$11,460	6.5%	\$696	\$12,201	6.5%	\$741
RESIDENT GRADUATE	\$4,259	\$4,409	3.5%	\$150	\$4,564	3.5%	\$155
NON-RESIDENT GRADUATE	\$8,136	\$8,658	6.4%	\$522	\$9,214	6.4%	\$556

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 semester credit hours (SCH). For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in 9 SCH (unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

Projected New Net Revenue Based on Requested Increases in Total Academic Costs

	Baseline (Net Revenue from FY 2016 Total Academic Cost Rates)	Projected New Net Revenue Based on Requested Increases Year 1	Projected New Net Revenue Based on Requested Increases Year 2
	Actual Revenue	Projected	Projected
Resident Undergraduate	\$187,246,917	\$5,263,027	\$5,396,034
Non-Resident Undergraduate	\$5,753,397	\$161,714	\$165,800
Resident Graduate	\$47,857,801	\$1,345,159	\$1,379,154
Non-Resident Graduate	\$20,659,925	\$580,697	\$595,372
TOTAL	\$261,518,040	\$7,350,597	\$7,536,360

New net revenue generated as a result of increases of greater than 2% in total academic costs should be allocated to key institutional priorities that align with institutional strategic plans. U. T. Arlington has outlined the following key institutional priorities:

- (1) **Enhancing Student Access and Increasing Success:** Student Success Initiatives including enhanced supplemental instruction and tutoring.
- (2) **Increasing Faculty Excellence and Numbers and Developing Appropriate Staff Support:** Revenue would support market equity adjustments to retain critical faculty and staff.
- (3) **Enhanced Student Support:** New and improved services would be offered, including the following: student health (medical fee), improved staff to student ratio in the Career Development Center (student services fee), expanded bus routes for students (shuttle bus fee), upgrade technology capabilities and wireless access points (technology fee), and sustained ongoing efforts to improve campus security (designated tuition).
- (4) **Increasing the Research and Innovation Enterprise:** Integration of active discovery and inquiry processes are critical for undergraduate education and student success.
- (5) **Developing Infrastructure and Addressing Maintenance and Obsolescence:** Revenue would support renewal of legacy infrastructure and new infrastructure to support online learning.

Impact on Student Affordability

Proposed increases will result in modest increases in costs to students depending on income range. For dependent students with the most limited resources, the semester increase for resident undergraduates attending full-time annually (\$162) would only cost these students \$22. Students in a middle-income range of \$75,001 - \$100,000 would pay only an extra \$96 per semester.

Summary of Proposed Tuition and Fee Plans: U. T. ARLINGTON

FALL 2016 and
FALL 2017

Summary of Proposed Guaranteed Rate Plan

	Fall 2015 Total Academic Cost Baseline Guaranteed Plan	Proposed Fall 2016 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2015 Guaranteed Plan	Request Amount Increase over Fall 2015 Guaranteed Plan	Proposed Fall 2017 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2016 Guaranteed Plan	Request Amount Increase over Fall 2016 Guaranteed Plan
RESIDENT UNDERGRADUATE	\$5,219	\$5,404	3.5%	\$185	\$5,595	3.5%	\$191
NON-RESIDENT UNDERGRADUATE	\$11,182	\$11,905	6.5%	\$723	\$12,676	6.5%	\$771
RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA
NON-RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 SCH. For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in 9 SCH (unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

Summary of Proposed Tuition and Fee Plans: U. T. AUSTIN

FALL 2016 and
FALL 2017

Summary of Proposed Traditional Rate Plans

	Fall 2015 Total Academic Cost Baseline	Proposed Fall 2016 Total Academic Cost	Requested Percentage Increase over Fall 2015	Average Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Requested Percentage Increase over Fall 2016	Average Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$4,903	\$5,055	3.1%	\$152	\$5,207	3.0%	\$152
NON-RESIDENT UNDERGRADUATE	\$17,338	\$17,863	3.0%	\$525	\$18,399	3.0%	\$536
RESIDENT GRADUATE	\$4,436	\$4,574	3.1%	\$138	\$4,711	3.0%	\$137
NON-RESIDENT GRADUATE	\$8,588	\$8,851	3.1%	\$263	\$9,116	3.0%	\$265

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 semester credit hours (SCH). For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

Increases of 3.1% are also proposed for professional degree programs including law, business, pharmacy, and medicine.

Projected New Net Revenue Based on Requested Increases in Total Academic Costs

	Baseline (Net Revenue from FY 2016 Total Academic Cost Rates)	Projected New Net Revenue Based on Requested Increases Year 1	Projected New Net Revenue Based on Requested Increases Year 2
	Actual Revenue	Projected	Projected
Resident Undergraduate	\$359.4M	\$9.4M	\$8.8M
Non-Resident Undergraduate	\$71.8M	\$1.8M	\$2.2M
Resident Graduate	\$134.3M	\$3.5M	\$3.6M
Non-Resident Graduate	\$35.5M	\$1.0M	\$1.1M
TOTAL	\$601.0M	\$15.7M	\$15.7M

New net revenue generated as a result of increases of greater than 2% in total academic costs should be allocated to key institutional priorities that align with institutional strategic plans. U. T. Austin has outlined the following key institutional priorities:

(1) Advancing Student Success: Initiatives include

Continuing progress toward reaching four-year graduation rate and student persistence goals that include investments in evidence-based student success initiatives such as the University Leadership Network, Texas Interdisciplinary Plan, and predictive analytics to identify at-risk students for effective programs;

Developing next generation degree programs that integrate research and teaching in residential undergraduate programs; and

Improving post-graduate career placement and redesign degree programs with public/private partnerships and experiential learning.

(2) Faculty Support: Revenue will help to support faculty recruitment and retention strategies with a focus on gender equity.**Impact on Student Affordability**

The mandated financial aid set-aside associated with the increase will yield approximately \$2 million that will be allocated to students with high financial need to offset the cost of tuition. Over the next five years, U. T. Austin also plans to expand the use of evidence-based financial aid strategies to improve affordability, equity, and student success in the distribution of financial aid.

Summary of Proposed Tuition and Fee Plans: U. T. AUSTIN

FALL 2016 and
FALL 2017

Summary of Proposed Guaranteed Rate Plan

	Fall 2015 Total Academic Cost Baseline Guaranteed Plan	Proposed Fall 2016 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2015 Guaranteed Plan	Request Amount Increase over Fall 2015 Guaranteed Plan	Proposed Fall 2017 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2016 Guaranteed Plan	Request Amount Increase over Fall 2016 Guaranteed Plan
RESIDENT UNDERGRADUATE	\$5,285	\$5,449	3.1%	\$164	\$5,612	3.0%	\$163
NON-RESIDENT UNDERGRADUATE	\$18,144	\$18,693	3.0%	\$549	\$19,254	3.0%	\$561
RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA
NON-RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 SCH. For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

Undergraduate students who opt for the four-year guaranteed tuition plan and graduate within four years will be eligible for a total of \$3,500 in rebates. Students on the traditional rate plan who graduate in four years are eligible for a \$1,000 rebate. The rebates will be paid upon graduation. The eligibility requirements for the tuition rebates will be similar to those that are in place for existing rebate programs.

In Fall 2015, U. T. Austin enrolled approximately 900 resident undergraduate students and approximately 40 nonresident undergraduate students in guaranteed tuition plans. U. T. Austin anticipates enrollment to increase by a little more than 10% annually over the next two years.

Summary of Proposed Tuition and Fee Plans: U. T. DALLAS

FALL 2016 and
FALL 2017

Summary of Proposed Guaranteed Rates Plans, Each Newly Entering Cohort

	Fall 2015 Total Academic Cost Baseline	Proposed Fall 2016 Total Academic Cost	Requested Percentage Increase over Fall 2015	Average Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Requested Percentage Increase over Fall 2016	Average Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$6,143	\$6,536	6.4%	\$393	\$6,954	6.4%	\$418
NON-RESIDENT UNDERGRADUATE	\$16,324	\$17,369	6.4%	\$1,045	\$18,480	6.4%	\$1,111
RESIDENT GRADUATE	\$6,138	\$6,660	8.5%	\$522	\$7,153	7.4%	\$493
NON-RESIDENT GRADUATE	\$11,561	\$12,763	10.4%	\$1,202	\$13,835	8.4%	\$1,072

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 semester credit hours (SCH). For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

Projected New Net Revenue Based on Requested Increases in Total Academic Costs

	Baseline (Net Revenue from FY 2016 Total Academic Cost Rates) Actual Revenue	Projected New Net Revenue Based on Requested Increases Year 1 Projected	Projected New Net Revenue Based on Requested Increases Year 2 Projected
Resident Undergraduate	\$55,625,499	\$3,560,032	\$3,787,874
Non-Resident Undergraduate	\$9,420,428	\$602,907	\$641,494
Resident Graduate	\$10,320,497	\$869,593	\$821,406
Non-Resident Graduate	\$55,619,295	\$5,784,407	\$5,157,911
TOTAL	\$130,895,719	\$10,726,939	\$10,408,685

New net revenue generated as a result of increases of greater than 2% in total academic costs should be allocated to key institutional priorities that align with institutional strategic plans. U. T. Dallas has outlined the following key institutional priorities:

- (1) **Increasing Student Success:** Initiatives include improving undergraduate and graduate advising, expanding international education, and expanding undergraduate research opportunities.
- (2) **Enhancing Faculty Support:** Some revenue would go toward a salary program to address promotions, equity, and market value.
- (3) **Enhancing the Technological Infrastructure for Student Success:** The technology fee would further support technology and infrastructure improvements and study abroad opportunities would be expanded through revenue from the international education fee.

Impact on Student Affordability

Students who are pell-eligible receive significant grant and scholarship aid that exceeds tuition and fees, and 94% pay \$0 in tuition and fees to attend. In conjunction with these need-based aid programs, U. T. Dallas, as a key component of its strategy for academic excellence, also commits a significant component of its internal resources to fund need-blind financial aid programs to undergraduate students on the basis of their academic promise and performance.

Summary of Proposed Tuition and Fee Plans: U. T. EL PASO

FALL 2016 and
FALL 2017

Summary of Proposed Traditional Rate Plans

	Fall 2015 Total Academic Cost Baseline	Proposed Fall 2016 Total Academic Cost	Requested Percentage Increase over Fall 2015	Average Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Requested Percentage Increase over Fall 2016	Average Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$3,631	\$3,794	4.5%	\$163	\$3,965	4.5%	\$171
NON-RESIDENT UNDERGRADUATE	\$9,581	\$10,012	4.5%	\$431	\$10,462	4.5%	\$450
RESIDENT GRADUATE	\$2,690	\$2,812	4.5%	\$122	\$2,938	4.5%	\$126
NON-RESIDENT GRADUATE	\$6,281	\$6,564	4.5%	\$283	\$6,860	4.5%	\$296

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 semester credit hours (SCH). For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

Projected New Net Revenue Based on Requested Increases in Total Academic Costs

	Baseline (Net Revenue from FY 2016 Total Academic Cost Rates)	Projected New Net Revenue Based on Requested Increases Year 1	Projected New Net Revenue Based on Requested Increases Year 2
	Actual Revenue	Projected	Projected
Resident Undergraduate	\$123,292,878	\$5,550,108	\$5,799,685
Non-Resident Undergraduate	\$6,764,299	\$304,215	\$317,877
Resident Graduate	\$11,827,438	\$532,136	\$556,270
Non-Resident Graduate	\$577,865	\$26,032	\$27,200
TOTAL	\$142,462,480	\$6,412,491	\$6,701,032

New net revenue generated as a result of increases of greater than 2% in total academic costs should be allocated to key institutional priorities that align with institutional strategic plans. U. T. El Paso has outlined the following key institutional priorities:

(1) Student Success: U. T. El Paso students have identified allocations for targeted priorities including advising, tutoring, internships, on-campus employment, and mentoring. U. T. El Paso is nationally recognized for developing innovative support strategies for the 21st century student demographic, data-informed programs designed to target needs of first-generation and low-income student population.

(2) Faculty Recruitment and Retention: U. T. El Paso plans to conduct highly intentional faculty hiring in areas of strategic priorities, to leverage strengths and increase interdisciplinary collaboration. The average Tenure/Tenure-Track faculty salary is currently the third lowest of emerging research institutions in Texas.

(3) Graduate Teaching Assistants: U. T. El Paso plans to address compensation levels for doctoral students to maintain fairness and competitiveness.

(4) Technology Enhancements: Demand for enhanced technology support is tied closely with student success and faculty support and includes expanded mobile device support, virtualized software, and system backup for research computing.

Impact on Student Affordability

36% of resident undergraduate students currently receive aid in excess of tuition and fee amounts. Proposed tuition increases would not change the percent of the population that has tuition and fees fully covered through grants and scholarships.

Summary of Proposed Tuition and Fee Plans: U. T. EL PASO

FALL 2016 and
FALL 2017

Summary of Proposed Guaranteed Rate Plan

	Fall 2015 Total Academic Cost Baseline Guaranteed Plan	Proposed Fall 2016 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2015 Guaranteed Plan	Request Amount Increase over Fall 2015 Guaranteed Plan	Proposed Fall 2017 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2016 Guaranteed Plan	Request Amount Increase over Fall 2016 Guaranteed Plan
RESIDENT UNDERGRADUATE	\$4,019	\$4,140	3.0%	\$121	\$4,264	3.0%	\$124
NON-RESIDENT UNDERGRADUATE	NA	NA	NA	NA	NA	NA	NA
RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA
NON-RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 SCH. For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

Summary of Proposed Tuition and Fee Plans: U. T. PERMIAN BASIN

FALL 2016 and
FALL 2017

Summary of Proposed Traditional Rate Plans

	Fall 2015 Total Academic Cost Baseline	Proposed Fall 2016 Total Academic Cost	Requested Percentage Increase over Fall 2015	Average Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Requested Percentage Increase over Fall 2016	Average Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$3,283	\$3,480	6.0%	\$197	\$3,631	4.3%	\$151
NON-RESIDENT UNDERGRADUATE	\$9,133	\$9,329	2.0%	\$196	\$9,481	1.6%	\$152
RESIDENT GRADUATE	\$2,021	\$2,139	5.9%	\$118	\$2,235	4.5%	\$96
NON-RESIDENT GRADUATE	\$5,531	\$5,649	2.1%	\$118	\$5,745	1.7%	\$96

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 semester credit hours (SCH). For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

The tuition waiver applied to non-resident undergraduate students who reside in the other 49 states will reduce their total academic cost to \$3,808 for Fall 2015, \$4,004 for Fall 2016 and \$4,156 for Fall 2017. The tuition waiver applied to non-resident graduate students who reside in the other 49 states will reduce their total academic cost to \$2,336 for Fall 2015, \$2,454 for Fall 2016 and \$2,550 for Fall 2017.

Projected New Net Revenue Based on Requested Increases in Total Academic Costs

	Baseline (Net Revenue from FY 2016 Total Academic Cost Rates)	Projected New Net Revenue Based on Requested Increases Year 1	Projected New Net Revenue Based on Requested Increases Year 2
	Actual Revenue	Projected	Projected
Resident Undergraduate	\$16,512,060	\$957,861	\$760,671
Non-Resident Undergraduate	\$2,637,919	\$106,438	\$90,521
Resident Graduate	\$2,479,292	\$118,866	\$99,234
Non-Resident Graduate	\$350,761	\$13,698	\$11,765
TOTAL	\$21,980,032	\$1,196,863	\$962,191

New net revenue generated as a result of increases of greater than 2% in total academic costs should be allocated to key institutional priorities that align with institutional strategic plans. U. T. Permian Basin has outlined the following key institutional priorities:

- (1) **Student Success:** Organizational alignment to support retention and success, membership in the Student Success Collaborative (predictive analytics), greater support for student organizations
- (2) **Quality, Student Success, Research (Library Support):** Upgrades to support digital and physical collections; higher priority for members of the Student Senate
- (3) **Campus Safety:** Expansion of police force and training
- (4) **Growth and Quality (Faculty and Staff Recruitment and Retention):** Contributes to strategic objectives and growth to recruit and support faculty in current and newly developed academic programs
- (5) **Online Program Development:** Almost 40% of enrollment growth has been in online programs -- an integral part of U. T. Permian Basin's strategic plan; further staff and course development are needed to support and enhance offerings

Impact on Student Affordability

The Falcon Promise Program guarantees free tuition and fees to Pell-eligible students with family incomes of less than \$60,000. High school students who qualify for Early College High School or dual credit offerings receive free tuition and fees. U. T. Permian Basin offers the \$10,000 Texas Science Scholars Programs for students majoring in certain science programs. U. T. Permian Basin recently lowered graduate tuition rates to match those of undergraduate programs.

Summary of Proposed Tuition and Fee Plans: U. T. PERMIAN BASIN

FALL 2016 and
FALL 2017

Summary of Proposed Guaranteed Rate Plan

	Fall 2015 Total Academic Cost Baseline Guaranteed Plan	Proposed Fall 2016 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2015 Guaranteed Plan	Request Amount Increase over Fall 2015 Guaranteed Plan	Proposed Fall 2017 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2016 Guaranteed Plan	Request Amount Increase over Fall 2016 Guaranteed Plan
RESIDENT UNDERGRADUATE	\$3,711	\$3,530	-4.9%	\$-181	\$3,650	3.4%	\$120
NON-RESIDENT UNDERGRADUATE	NA	\$9,500	NA	NA	\$9,750	2.6%	\$275
RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA
NON-RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 SCH. For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

In Fall 2015, U. T. Permian Basin enrolled a very small amount of undergraduate students in the guaranteed tuition plan but expect to see a slight increase in future years.

Summary of Proposed Tuition and Fee Plans: U. T. RIO GRANDE VALLEY

FALL 2016 and
FALL 2017

Summary of Proposed Rate Plans – Guaranteed

	Fall 2015 Total Academic Cost Baseline	Proposed Fall 2016 Total Academic Cost	Requested Percentage Increase over Fall 2015	Average Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Requested Percentage Increase over Fall 2016	Average Increase over Fall 2016
RESIDENT UNDERGRADUATE, Newly Entering Cohort	\$3,650	\$3,724	2.0%	\$74	\$3,798	2.0%	\$74
NON-RESIDENT UNDERGRADUATE Newly Entering Cohort	\$9,500	\$9,574	0.8%	\$74	\$9,648	0.8%	\$74
RESIDENT GRADUATE	\$3,249	\$3,304	1.7%	\$55	\$3,360	1.7%	\$56
NON-RESIDENT GRADUATE	\$6,759	\$6,814	0.8%	\$55	\$6,870	0.8%	\$56

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 semester credit hours (SCH). For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

Projected New Net Revenue Based on Requested Increases in Total Academic Costs

	Baseline (Net Revenue from FY 2016 Total Academic Cost Rates)	Projected New Net Revenue Based on Requested Increases Entering Fall 2016 Cohort Projected	Projected New Net Revenue Based on Requested Increases Entering Fall 2017 Cohort Projected
	Actual Revenue		
Resident Undergraduate	\$85,291,994	\$450,550	\$1,285,909
Non-Resident Undergraduate	\$1,024,901	\$3,422	\$10,005
Resident Graduate	\$8,606,597	\$58,287	\$307,359
Non-Resident Graduate	\$708,922	\$5,953	\$30,945
TOTAL	\$95,632,414	\$518,212	\$1,634,218

U. T. Rio Grande Valley has outlined the following key institutional priorities:

- (1) **Expand Course and Program Offerings**
- (2) **Increase the Number of Class Sections of Current Courses**
- (3) **Provide More Student Employment Opportunities on Campuses**
- (4) **Increase the Number of Highly Qualified Teaching Faculty**

Other high-priority needs will be determined by the Academic Cost Committee in alignment with the strategic plan.

Impact on Student Affordability

U. T. Rio Grande Valley will use scholarships and grant funds to greatly mitigate the impact of the proposed tuition increases on students. The additional set-aside funds generated by the requested tuition increase would be targeted for students with family incomes of \$60,000 or less.

Summary of Proposed Tuition and Fee Plans: U. T. SAN ANTONIO

FALL 2016 and
FALL 2017

Summary of Proposed Traditional Rate Plans

	Fall 2015 Total Academic Cost Baseline	Proposed Fall 2016 Total Academic Cost	Requested Percentage Increase over Fall 2015	Average Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Requested Percentage Increase over Fall 2016	Average Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$4,556	\$4,848	6.4%	\$292	\$5,139	6.0%	\$291
NON-RESIDENT UNDERGRADUATE	\$10,632	\$11,314	6.4%	\$682	\$11,994	6.0%	\$680
RESIDENT GRADUATE	\$3,733	\$3,972	6.4%	\$239	\$4,211	6.0%	\$239
NON-RESIDENT GRADUATE	\$10,912	\$11,612	6.4%	\$700	\$12,309	6.0%	\$697

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 semester credit hours (SCH). For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

Projected New Net Revenue Based on Requested Increases in Total Academic Costs

	Baseline (Net Revenue from FY 2016 Total Academic Cost Rates)	Projected New Net Revenue Based on Requested Increases Year 1	Projected New Net Revenue Based on Requested Increases Year 2
	Actual Revenue	Projected	Projected
Resident Undergraduate	\$183,167,654	\$8,537,018	\$9,811,998
Non-Resident Undergraduate	\$20,845,701	\$1,233,827	\$1,255,791
Resident Graduate	\$23,797,044	\$1,763,579	\$1,446,805
Non-Resident Graduate	\$5,925,775	\$356,937	\$347,221
TOTAL	\$233,736,174	\$11,891,361	\$12,861,815

New net revenue generated as a result of increases of greater than 2% in total academic costs should be allocated to key institutional priorities that align with institutional strategic plans. U. T. San Antonio has outlined the following key institutional priorities:

- (1) **The Gold Star Initiative:** Supports high-caliber research activities that provides for the recruitment of faculty and top-tier researchers that leads to innovation and development of new technology; attracts additional graduate students and expands masters and doctoral programs.
- (2) **Graduation Rate Improvement Plan:** Revenue will support plan to improve retention and time to degree by funding advising software, student advisors, peer mentors, and increased financial aid.
- (3) **Faculty and Staff Retention:** New revenue will fund retention initiatives and merit and market-based compensation plans.
- (4) **Enhanced Student Services:** Increases in fees will support library resources (library resources fee), student engagement initiatives (student services fee), funding for study abroad programs (international education fee), expanded affordable student health and mental health services (medical services fee), improved support for student athletes (athletics fee), better transportation services (transportation fee), more student programming (university center fee), enhance wireless access and classroom technology (automated services fee), and new recreational equipment and fitness opportunities (recreational center fee).

Impact on Student Affordability

If increases in tuition and fees are approved, additional funds will be set aside to meet financial aid needs of students in the form of grants for both undergraduate and graduate students. The percentage of grants and scholarships offered will also increase to offset the additional costs to students. More than 70% of incoming freshmen receive a combination of grants and scholarships, and more than 1,700 receive enough to fully cover tuition and fees.

Summary of Proposed Tuition and Fee Plans: U. T. SAN ANTONIO

FALL 2016 and
FALL 2017

Summary of Proposed Guaranteed Rate Plan

	Fall 2015 Total Academic Cost Baseline Guaranteed Plan	Proposed Fall 2016 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2015 Guaranteed Plan	Request Amount Increase over Fall 2015 Guaranteed Plan	Proposed Fall 2017 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2016 Guaranteed Plan	Request Amount Increase over Fall 2016 Guaranteed Plan
RESIDENT UNDERGRADUATE	\$5,123	\$5,451	6.4%	\$328	\$5,779	6.0%	\$328
NON-RESIDENT UNDERGRADUATE	\$11,572	\$12,314	6.4%	\$742	\$13,053	6.0%	\$740
RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA
NON-RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 SCH. For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

Summary of Proposed Tuition and Fee Plans: U. T. TYLER

FALL 2016 and
FALL 2017

Summary of Proposed Traditional Rate Plans

	Fall 2015 Total Academic Cost Baseline	Proposed Fall 2016 Total Academic Cost	Requested Percentage Increase over Fall 2015	Average Increase over Fall 2015	Proposed Fall 2017 Total Academic Cost	Requested Percentage Increase over Fall 2016	Average Increase over Fall 2016
RESIDENT UNDERGRADUATE	\$3,656	\$3,801	4.0%	\$145	\$3,961	4.2%	\$160
NON-RESIDENT UNDERGRADUATE	\$9,618	\$9,771	1.6%	\$153	\$9,946	1.8%	\$175
RESIDENT GRADUATE (Masters)	\$2,909	\$3,044	4.7%	\$136	\$3,225	6.0%	\$181
NON-RESIDENT GRADUATE (Masters)	\$6,441	\$6,581	2.2%	\$140	\$6,735	2.3%	\$154

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 semester credit hours (SCH). For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.

Projected New Net Revenue Based on Requested Increases in Total Academic Costs

	Baseline (Net Revenue from FY 2016 Total Academic Cost Rates)	Projected New Net Revenue Based on Requested Increases Year 1	Projected New Net Revenue Based on Requested Increases Year 2
	Actual Revenue	Projected	Projected
Resident Undergraduate	\$34,272,001	\$1,376,195	\$1,518,560
Non-Resident Undergraduate	\$1,550,826	\$24,786	\$28,350
Resident Graduate	\$11,613,755	\$544,891	\$614,648
Non-Resident Graduate	\$3,037,768	\$80,456	\$73,264
TOTAL	\$50,474,350	\$2,026,328	\$2,234,822

New net revenue generated as a result of increases of greater than 2% in total academic costs should be allocated to key institutional priorities that align with institutional strategic plans. U. T. Tyler has outlined the following key institutional priorities:

- (1) **Increasing Student Success:** Revenue will support Enhanced student success programs including Supplemental Instruction, tutoring, and other investments that help improve timely degree completion.
- (2) **Recruiting and Retaining Quality Faculty and Staff:** Some revenue will be allocated to help achieve market parity for faculty and staff salaries and supplement startup costs for new faculty members.
- (3) **Strategic Growth:** Revenue will support the goal of continued annual growth of 7% or greater and refinement of recruiting strategies to reflect demographics of the region.
- (4) **Seamless Transition for High School and Community College Students:** Revenue will support a plan to expand the number of advisors dedicated to new students, coordination between U. T. Tyler and community colleges, and development of a unique dual credit program.

Impact on Student Affordability

The average undergraduate student will continue to receive financial aid in excess of total academic costs, and students from families with incomes less than \$60,000 will continue to receive financial aid in excess of total academic costs.

Summary of Proposed Tuition and Fee Plans: U. T. TYLER

FALL 2016 and
FALL 2017

Summary of Proposed Guaranteed Rate Plan

	Fall 2015 Total Academic Cost Baseline Guaranteed Plan	Proposed Fall 2016 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2015 Guaranteed Plan	Request Amount Increase over Fall 2015 Guaranteed Plan	Proposed Fall 2017 Total Academic Cost Guaranteed Plan	Requested Percentage Increase over Fall 2016 Guaranteed Plan	Request Amount Increase over Fall 2016 Guaranteed Plan
RESIDENT UNDERGRADUATE	\$3,855	\$4,026	4.4%	\$171	\$4,201	4.3%	\$175
NON-RESIDENT UNDERGRADUATE	\$10,010	\$10,191	1.8%	\$181	\$10,381	1.9%	\$190
RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA
NON-RESIDENT GRADUATE	NA	NA	NA	NA	NA	NA	NA

Total Academic Cost represents the total of statutory tuition, Board-authorized designated tuition, mandatory fees, and course fees for the average undergraduate student enrolled in 15 SCH. For graduate students, the total represents the sum of tuition and mandatory fees for the average student enrolled in nine SCH (Unless otherwise noted). Please note that statutory tuition rates for Fall 2016 and beyond have not yet been published by the Texas Higher Education Coordinating Board at the time of rate proposal submission; therefore, statutory tuition rates are subject to increase based on future published statutory tuition rates.



**TABLE OF CONTENTS
FOR
HEALTH AFFAIRS COMMITTEE**

Committee Meeting: 2/10/2016

Board Meeting: 2/11/2016
Galveston, Texas

*Alex M. Cranberg, Chairman
Ernest Aliseda
David J. Beck
Jeffery D. Hildebrand
Sara Martinez Tucker*

	Committee Meeting	Board Meeting	Page
Convene	4:00 p.m. <i>Chairman Cranberg</i>		
1. U. T. System: Discussion regarding tuition and fee proposals for Fiscal Years 2017 and 2018 for U. T. Southwestern Medical Center, U. T. Medical Branch - Galveston, U. T. Health Science Center - Houston, U. T. Health Science Center - San Antonio, and U. T. M. D. Anderson Cancer Center	4:00 p.m. Discussion <i>Health Presidents Dr. Greenberg</i>	Not on Agenda	309
2. U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, assigned for Committee consideration	4:30 p.m. Discussion	Action	330
3. U. T. System Board of Regents: Proposed appointments to The University of Texas System Health Care Advisory Committee	4:33 p.m. Action <i>Dr. Greenberg</i>	Action	331
4. U. T. Health Science Center - Tyler: Approval to create the School of Community and Rural Health	4:38 p.m. Action <i>President Calhoun Dr. Lakey</i>	Action	338
5. U. T. System: Report on a U. T. Systemwide Clinical Data Network	4:43 p.m. Report/Discussion <i>Dr. Elmer Bernstam, U. T. Health Science Center – Houston</i>	Not on Agenda	344

	Committee Meeting	Board Meeting	Page
6. U. T. System: Approval of \$10.8 million from the Available University Fund to be deployed over four fiscal years to support a new U. T. System Virtual Health Network Infrastructure, including the implementation of a pilot telemedicine project across the U. T. System health institutions; finding that the expenditure is appropriate; and authority to substitute Permanent University Funds for Available University Funds	5:03 p.m. Action <i>President Callender</i> <i>Dr. Alexander Vo,</i> <i>UTMB</i> <i>Dr. Greenberg</i>	Action	358
7. U. T. Health Science Center - San Antonio: Report on the Sam and Ann Barshop Institute for Longevity and Aging Studies	5:15 p.m. Report/Discussion <i>President Henrich</i>	Not on Agenda	370
Adjourn	5:30 p.m.		

1. **U. T. System: Discussion regarding tuition and fee proposals for Fiscal Years 2017 and 2018 for U. T. Southwestern Medical Center, U. T. Medical Branch - Galveston, U. T. Health Science Center - Houston, U. T. Health Science Center - San Antonio, and U. T. M. D. Anderson Cancer Center**

DISCUSSION

Executive Vice Chancellor Greenberg will discuss the tuition and fee proposals for Fiscal Years 2017 and 2018 for U. T. Southwestern Medical Center, U. T. Medical Branch - Galveston, U. T. Health Science Center - Houston, U. T. Health Science Center - San Antonio, and U. T. M. D. Anderson Cancer Center. A PowerPoint presentation is set forth on [Pages 310 - 316](#).

Executive Vice Chancellor Greenberg will outline the institutions' proposals and recommendations as set forth on the following pages, and the following institutional Presidents will be available to address any questions regarding the proposals for the respective health institutions. The tuition and mandatory fee proposals for the health institutions are on [Pages 317 - 329](#).

- U. T. Southwestern Medical Center, President Podolsky, [Page 317](#)
- U. T. Medical Branch - Galveston, President Callender, [Pages 318 - 322](#)
- U. T. Health Science Center - Houston, President Colasurdo, [Pages 323 - 326](#)
- U. T. Health Science Center - San Antonio, President Henrich, [Pages 327 - 328](#)
- U. T. M. D. Anderson Cancer Center, President DePinho, [Page 329](#)

U. T. Health Science Center - Tyler did not request tuition or fee plan changes for Fiscal Years 2017 and 2018. Therefore, the tuition and fee plan approved by the Board of Regents on August 23, 2012, remains in effect.

U. T. System Health-Related Institutions Proposed Tuition Adjustments

Context and Overview

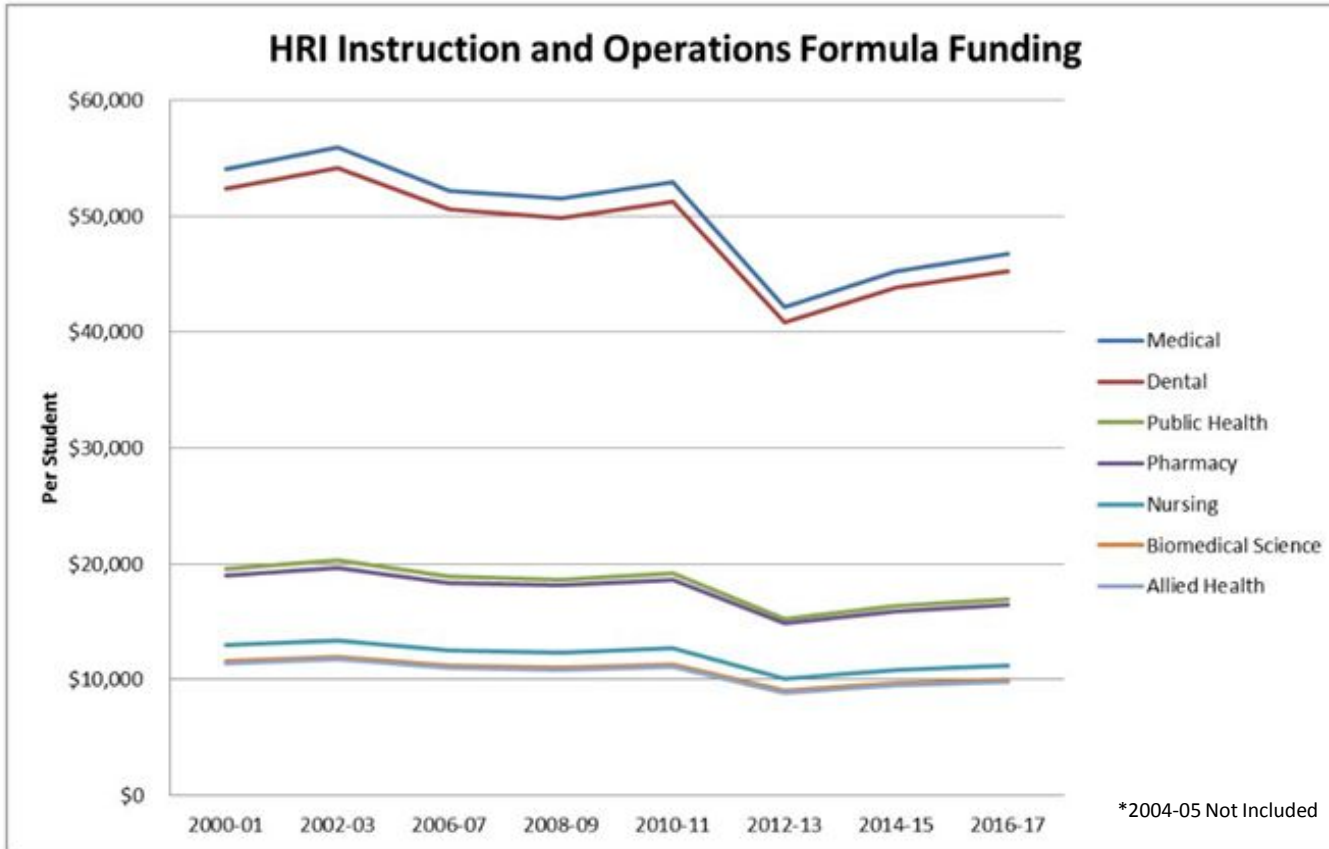
Raymond S. Greenberg, M.D., Ph.D.
Executive Vice Chancellor for Health Affairs

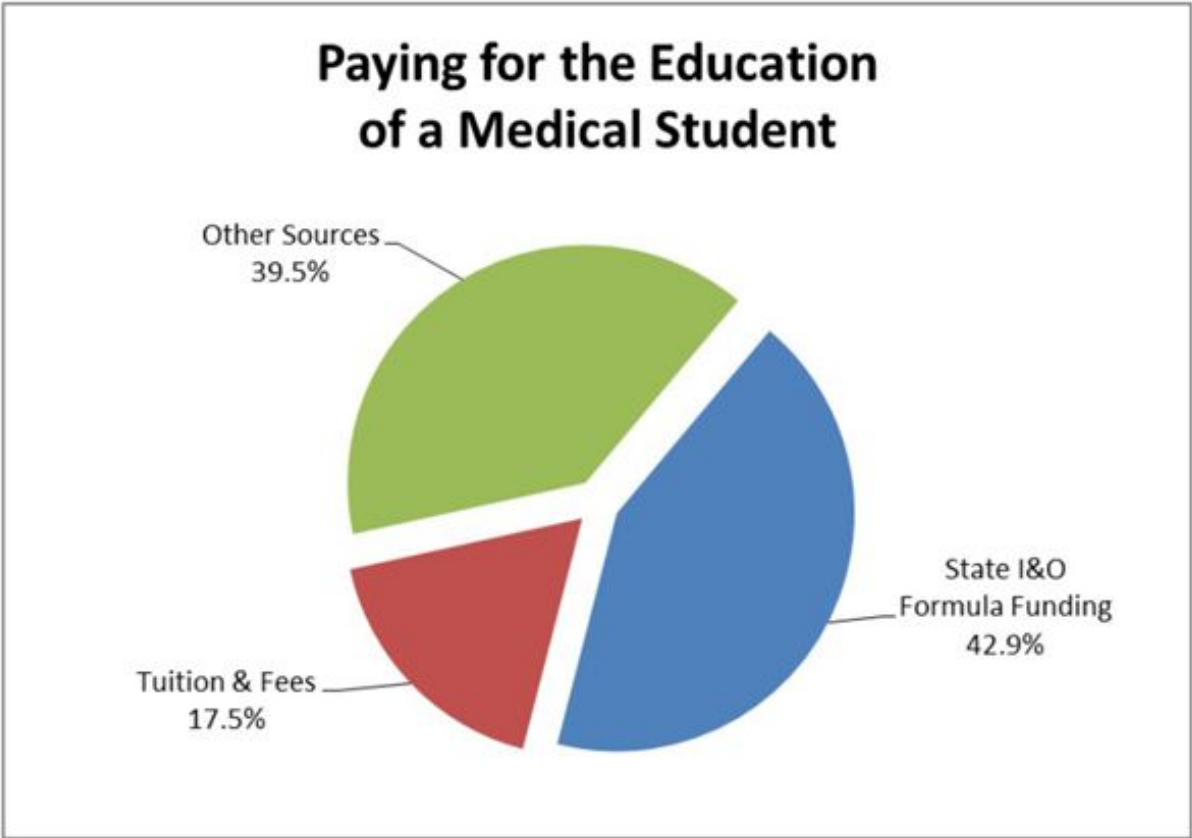
U. T. System Board of Regents' Meeting
Health Affairs Committee
February 2016

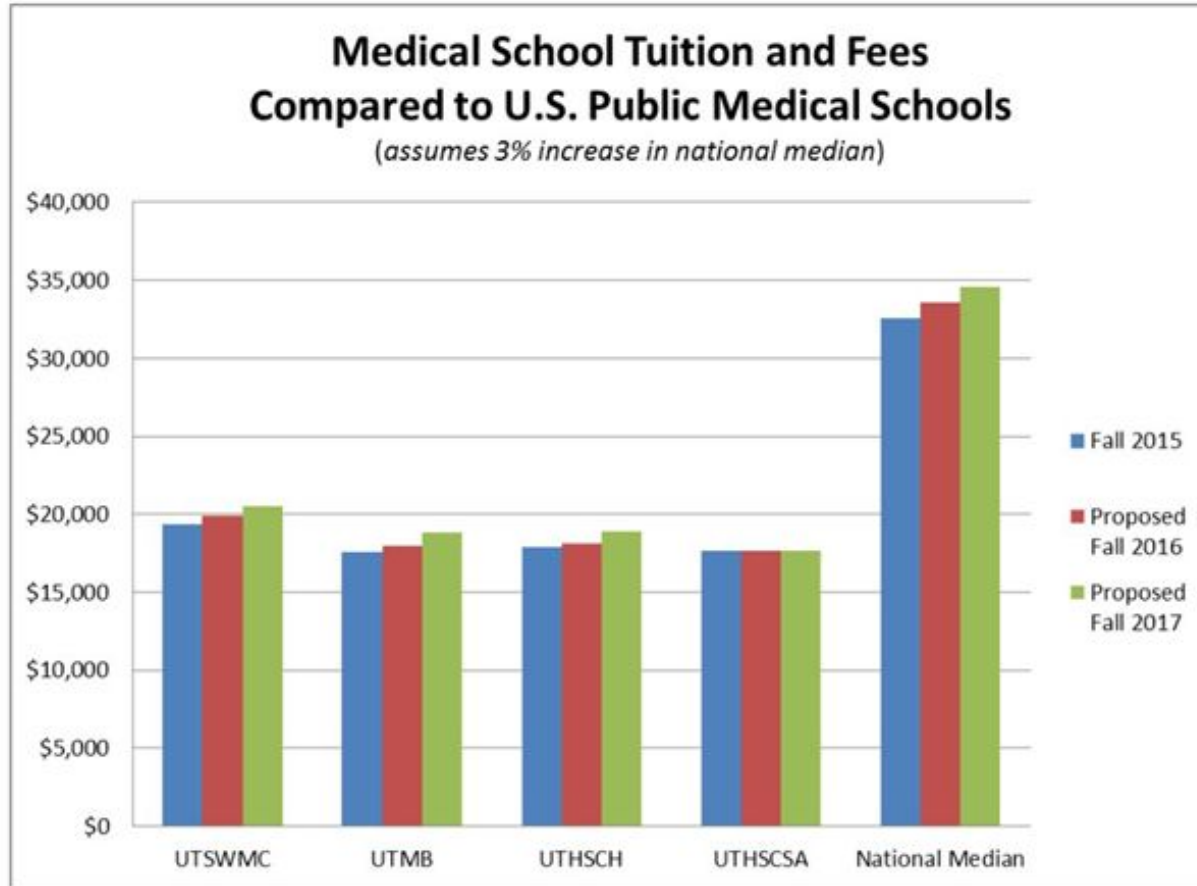


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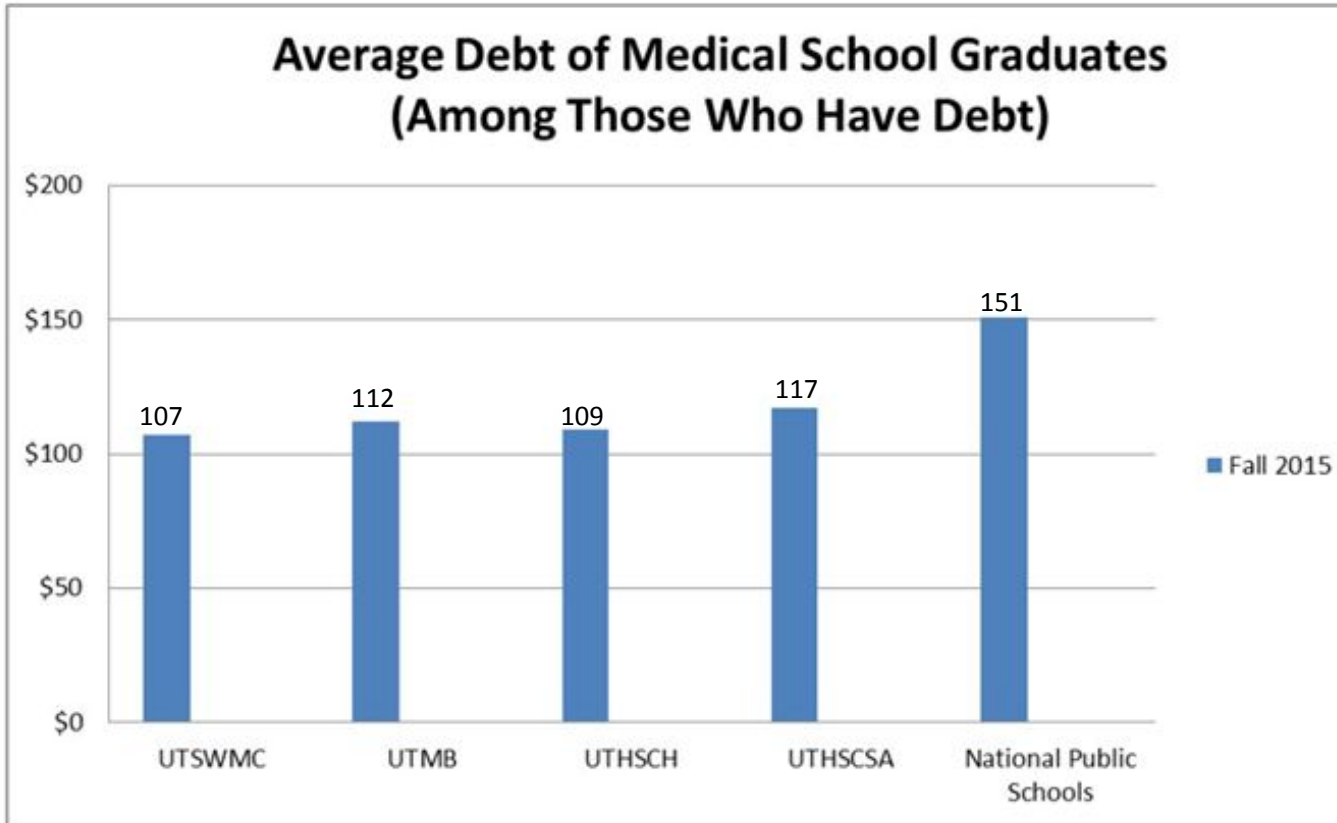
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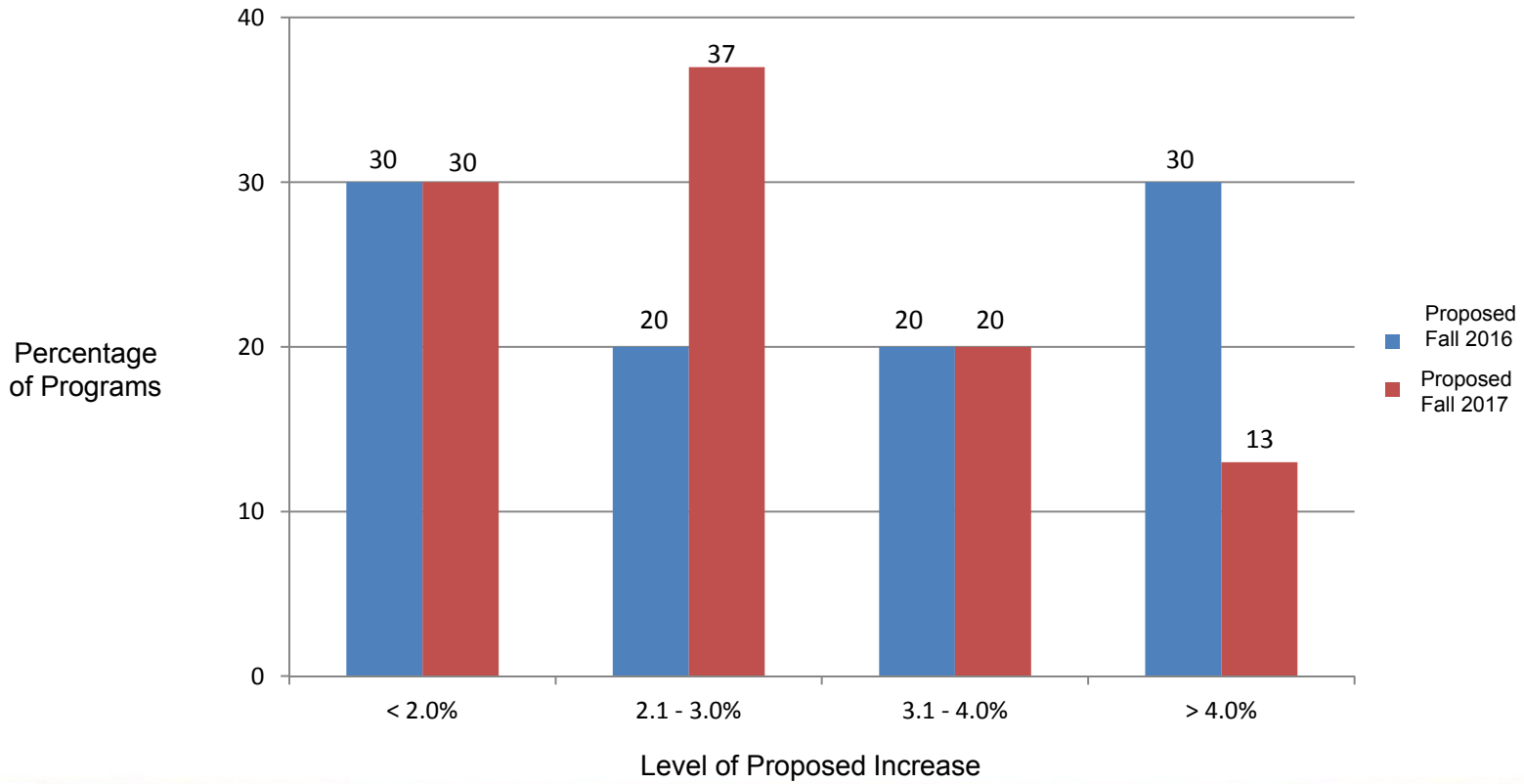
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Process for Proposal Development

1. In 2014, institutions developed five-year tuition plans.
2. In 2014, U. T. System Board of Regents approved first year of plans.
3. In 2015, U. T. System Board of Regents approved second year of plans.
4. In late 2015, institutions were asked to update third and fourth years of plans and make any appropriate modifications.
5. Plans were finalized, with student input.
6. Plans are presented now for U. T. System Board of Regents' review.



Distribution of Requested Percentage Tuition Increases



Summary of Proposed Tuition and Fee Plan: U. T. SOUTHWESTERN MEDICAL CENTER

Summary of Proposed Resident Tuition and Mandatory Fee Increases

	Fall 2015	Prop. Fall 2016	% Over Fall 2015	\$ Over Fall 2015	Prop. Fall 2017	% Over Fall 2016	\$ Over Fall 2016
Medical	\$19,343	\$19,923	3%	\$580	\$20,521	3%	\$598
Biomedical Sciences 24 semester credit hours (SCH)	\$7,743	\$7,975	3%	\$232	\$8,215	3%	\$240
Health Professions 24 SCH	\$7,743	\$7,975	3%	\$232	\$8,215	3%	\$240

- o Estimate reflects tuition and mandatory fees.

Projected New Revenue

	Increase in Revenue for 2016-2017	Increase in Revenue for 2017-2018
Medical	\$544,312	\$560,643
Biomedical Sciences and Health Professions	\$263,881	\$271,799

The additional tuition and fee revenue will be used to fund expenses to develop and maintain the West Campus Simulation and Education Center (1%) and help defray faculty salary inflationary costs (2%).

- o Two floors, or 28,889 square feet, of the new West Campus facility will be dedicated to a new state-of-the-art simulation and education center.
- o Inflationary increases of institutional operations and faculty salaries to retain outstanding faculty.

Summary of Proposed Tuition and Fee Plan: U. T. MEDICAL BRANCH - GALVESTON

Summary of Proposed Resident Tuition and Mandatory Fees Increases

	Fall 2015	Prop. Fall 2016	% Over Fall 2015	\$ Over Fall 2015	Prop. Fall 2017	% Over Fall 2016	\$ Over Fall 2016
School of Medicine							
MD	\$16,989	\$17,939	5.59%	\$950	\$18,839	5.02%	\$900
Graduate School of Biomedical Sciences							
Public Health Programs **	\$2,228	\$2,282	2.42%	\$54	\$2,336	2.37%	\$54
Biomedical Science Programs **	\$2,120	\$2,165	2.12%	\$45	\$2,210	2.08%	\$45
School of Nursing							
Undergraduate BS *	\$3,576	\$3,576	0.0%	\$0	\$3,640	1.8%	\$64
Graduate MS **	\$3,616	\$3,616	0.0%	\$0	\$3,666	1.4%	\$50
Graduate DNP **	\$3,619	\$3,619	0.0%	\$0	\$3,669	1.4%	\$50
School of Health Professions							
Undergraduate BS in CLS *	\$3,614	\$3,696	2.28%	\$82	\$3,779	2.24%	\$83
Undergrad. BS in Respiratory Care *	\$3,509	\$3,592	2.35%	\$83	\$3,674	2.30%	\$82
Graduate MS in CLS **	\$2,753	\$2,816	2.29%	\$63	\$2,879	2.24%	\$63
Grad. MS in Health Professions **	\$2,753	\$2,816	2.29%	\$63	\$2,879	2.24%	\$63
Grad. MS in Nutrition & Metabolism **	\$2,768	\$2,831	2.28%	\$63	\$2,894	2.22%	\$63
Graduate MS in PA **	\$3,149	\$3,225	2.4%	\$76	\$3,301	2.37%	\$76
Graduate MOT **	\$2,813	\$2,876	2.24%	\$63	\$2,939	2.19%	\$63
Graduate DPT **	\$3,149	\$3,213	2.04%	\$64	\$3,290	2.38%	\$77

* Undergraduate estimates are based on full-time enrollment of 15 credit hours

** Graduate estimates are based on full-time enrollment of 9 credit hours

Projected Annual Tuition Revenue

	Increase in Revenue for 2016-17	Increase in Revenue for 2017-18
School of Medicine	\$828,000	\$828,000
Graduate School of Biomedical Sciences	\$42,727	\$42,727
School of Nursing	\$0	\$150,782
School of Health Professions	\$65,263	\$65,263

Summary of Proposed Tuition and Fee Plan: U. T. MEDICAL BRANCH - GALVESTON
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Estimate of Proposed NON-Resident Tuition and Mandatory Compulsory Fees Increases

	Current Fall 2015	Proposed Fall 2016	Increase Over Fall 2015	Proposed Fall 2017	Increase Over Fall 2016
School of Medicine					
MD	\$30,089	\$31,771	5.59%	\$33,366	5.02%
Graduate School of Biomedical Sciences					
Public Health Programs **	\$5,738	\$5,792	0.94%	\$5,846	0.93%
Biomedical Science Programs **	\$5,630	\$5,675	0.80%	\$5,720	0.79%
School of Nursing					
Undergraduate BS *	\$9,467	\$9,467	0.0%	\$9,532	0.7%
Graduate MS **	\$7,126	\$7,126	0.0%	\$7,176	0.7%
Graduate DNP **	\$7,129	\$7,129	0.0%	\$7,179	0.7%
School of Health Professions					
Undergraduate BS in CLS *	\$9,839	\$10,086	2.52%	\$10,348	2.53%
Undergraduate BS in Respiratory Care *	\$9,734	\$9,982	2.54%	\$10,237	2.56%
Graduate MS in CLS **	\$6,358	\$6,515	2.48%	\$6,677	2.49%
Graduate MS in Health Professions **	\$6,357	\$6,515	2.48%	\$6,677	2.49%
Graduate MS in Nutrition & Metabolism **	\$6,372	\$6,530	2.47%	\$6,692	2.48%
Graduate MS in PA **	\$6,753	\$6,923	2.52%	\$7,099	2.53%
Graduate MOT **	\$6,417	\$6,575	2.45%	\$6,737	2.46%
Graduate DPT **	\$6,754	\$6,891	2.03%	\$7,066	2.55%

* Undergraduate estimates are based on full-time enrollment of 15 credit hours

** Graduate estimates are based on full-time enrollment of 9 credit hours

Summary of Proposed Tuition and Fee Plan: U. T. MEDICAL BRANCH - GALVESTON

Expected Use for Tuition Additional Revenue

The tuition increase in the School of Medicine is needed to defray inflationary costs (3%) and to respond to students requests that the school address the specific initiatives described below. Non-resident tuition is raised an equal percentage as resident tuition, which results in a higher dollar increase for non-residents. The additional revenue will be used (1) to offset inflationary cost increases; (2) to support a faculty advising system; and (3) to support the costs of community-based education and the physicians who currently serve as voluntary clinical preceptors for students on community-based assignments. A fee increase is also requested to support the standardized patient program which provides clinical skills teaching, practice, direct observation and feedback to students.

The additional funds in the Graduate School of Biomedical Sciences would be used to support bridging of enrolled students, student development activities and student academic conferences. These activities are currently supported by investigator funds and GSBS funds but limit the scope and frequency of these important activities.

Additional revenue for the School of Health Professions will support faculty to supervise clinical settings, maintain distance education programs and instructional software, and recoup course costs.

The proposed increase in tuition in the School of Nursing will be used to increase the number of full-time faculty, and retain current full-time faculty. Additionally, the increased funding would support part-time and pay by letter (PBL) clinical faculty and necessary resources for teaching in the classroom, online and simulation. The mandate by the State and UTMB's President, to double enrollments has necessitated a dramatic increase in resources and for PBL faculty member to accommodate the education and clinical supervision of students.

Summary of Proposed Tuition and Fee Plan: U. T. MEDICAL BRANCH - GALVESTON

Proposed Mandatory Fee Increases

UTMB is proposing the following compulsory fee increases. These fees were reviewed and approved by the UTMB Student Fee Advisory Committee.

Mandatory Fee Name	Current Fee	Proposed Fee Fall 2016	Proposed Fee Fall 2017
Student Services Fee*	10.99 per credit hour (\$600 per yr. for SOM & PA)	8.50 per credit hour (\$464.1 per yr. for SOM & PA)	8.50 per credit hour (\$464.1 per yr. for SOM & PA)
Distance Education Fee**	53.00 per credit hour	\$55.00 per credit hour	\$56.00 per credit
Alumni Fieldhouse Fee***	NOTE: 3.16 of the 10.99 charged above is currently designated for the Alumni Fieldhouse (\$173 of the \$600 above for SOM & PA)	4.00 per credit hour (\$218.40 per year for SOM & PA)	5.00 per credit hour (\$273 per year for SOM & PA)
Campus Security and Safety Fee	\$0	\$10 per semester \$30 per year for SOM & PA)	\$10 per semester \$30 per year for SOM & PA)
Student Computing & Teaching Equipment Fee	\$73.50 per semester (\$220 per year for SOM & PA)	\$78.50 per semester \$235 per year for SOM & PA)	\$83.50 per semester \$250 per year for SOM & PA)
Library Acquisition Fee	\$325.00 per year	\$350.00 per year	\$375.00 per year
Educational Technology Infrastructure Fee	\$45.00 per year	\$49.50 per year	\$54.50 per year

* Fee charged for face to face courses only and is being reduced because fieldhouse is no longer going to be paid out of Student Services Fee. It will now be its own standalone fee.

** Fee charged for online courses only

*** This fee is being moved from the Student Services Fee and is now being charged as a standalone fee. Fee will not be charged to online courses.

Summary of Proposed Tuition and Fee Plan: U. T. MEDICAL BRANCH - GALVESTON

Proposed Incidental, Program and Course Related Fee Increases

UTMB is proposing changes to the following incidental, program and course related fees. All of these fees are being charged to cover costs associated with providing these services.

Incidental, Course or Program Fee	Fee Name	Current Fee	Proposed Fee Beginning Fall 2016
Incidental	Graduation Fee	\$70 – Bachelors \$100 - Masters \$132 - Doctoral	\$93 - Bachelors \$97 - Masters \$155 - Doctoral
Incidental	ID Badge Fee	\$5 per ID	\$20 per ID
Incidental	Application Processing Fee	New Fee	\$10 for all applications
School of Medicine	Application Fee	New Fee	\$25
School of Medicine	Standardized Patient Program Fee	\$50	\$100
School of Medicine	NBME Year 3 Testing Fee	New Fee	\$175
School of Medicine	USMLE Step 1 Year 2 Preparation Fee	New Fee	\$50
Course	Nutrition and Metabolism Internship Fee	New Fee	\$100
Lab	PHYT 6110 Surface Anatomy	\$0	\$2
Lab	PHYT 6228 Differential DX in PT	\$15	\$25
Course	PHYT 6227 Evidence Based Seminar	New Fee	\$15
Course	Differential Dx in PT (Natl. Practice Exam)	\$225	\$250
Lab	PHYT 6350 Bridge Comps in PT	\$10	\$35
Lab	Dx & Management NM Dys II	\$20	\$35
Course	RESC 4153 Board Exam Review	New Fee	\$50
Course	RESC 5266 Clinical Simulation Review	New Fee	\$70

Summary of Proposed Tuition and Fee Plan: UT Health Science Center at Houston

Summary of Proposed Resident Tuition and Mandatory Fee Increases

	Fall 2015	Prop. Fall 2016	% Over Fall 2015	\$ Over Fall 2015	Prop. Fall 2017	% Over Fall 2016	\$ Over Fall 2016
Biomedical Informatics (SBMI) (24 sch)	\$8,437	\$8,797	4.27%	\$360	\$8,797	0%	\$0
Biomedical Sciences (GSBS)	\$4,368	\$4,368	0%	\$0	\$4,368	0%	\$0
Dentistry (SOD) *	\$3,744	\$3,744	0%	\$0	\$3,848	3%	\$104
Medical School	\$17,457	\$18,157	4%	\$700	\$18,867	4%	\$710
Nursing (SON)							
Undergrad (15 sch)	\$3,685	\$3,865	4.8%	\$180	\$3,959	2.4%	\$94
Graduate (9 sch)	\$2,551	\$2,709	6.1%	\$158	\$2,830	2.4	\$121
Public Health (SPH) (23 sch)	\$5,897	\$6,127	3.90%	\$230	\$6,367	3.91%	\$240

*SOD is only proposing PostGraduate Program tuition increases. DDS and Dental Hygiene Programs are not being proposed.

Estimate reflects tuition and mandatory fees.

Projected New Revenue

	Increase in Revenue for 2016-17 (FY17)	Increase in Revenue for 2017-18 (FY18)
SBMI	51,840	51,840
GSBS	NA	NA
SOD	NA	34,736
MS	700,000	700,000
SON	187,642	176,406
SPH	323,606	320,753

School of Biomedical Informatics (SBMI):

- SBMI, following its original 5-Year Tuition and Fee Plan, proposes to increase Resident Designated Tuition by \$15/semester credit hour for Fall 2016 with no increases proposed for Fall 2017.
 - Designated Tuition will increase from \$131/SCH to \$146/SCH.
- SBMI, following the original 5-Year Tuition and Fee Plan, is not proposing any school specific incidental, course, or laboratory fee increases for Fall 2016 or Fall 2017.
- Additional revenue from the tuition increase will be used to towards recruiting highly trained teaching faculty and growing student support services in the area of business and technical writing skills. SBMI employers have indicated that strong writing skills are foundational for health informatics professionals.

Graduate School of Biomedical Sciences (GSBS):

- GSBS, following its original 5-Year Tuition and Fee Plan, is not proposing any tuition or school specific incidental, course or laboratory fee increases for Fall 2016 or Fall 2017.

School of Dentistry (SOD):

Summary of Proposed Tuition and Fee Plan: UT Health Science Center at Houston

- SOD, requesting an EXCEPTION to the original 5-Year Tuition and Fee Plan, is proposing a tuition increase for both Resident and Non-Resident tuitions for the Advanced Education Programs (postgraduate) effective Fall 2017. On review, the tuition for this program has not been raised since 1999-2000 and since this time has increased both in the number and average salary of teaching faculty for the programs.
 - Resident Designated Tuition will increase from \$46/SCH to \$48/SCH. Resident Differential Tuition will increase from \$48/SCH to \$50/SCH. *This will cap the Resident Differential rate matching the legislative statutory tuition rate of \$50/SCH.*
 - Non-Resident Designated Tuition will increase from \$46/SCH to \$50/SCH. Non-Resident Differential Tuition will increase from \$48/SCH to \$72/SCH.
- Additional revenue from the tuition increase will be used for a more equitable balance of faculty recruitment and retention for the postgraduate program.
- All currently enrolled postgraduate students will be exempt from the proposed increase with only new entering students beginning Fall 2017 affected by new rates.
- SOD, following the original 5-Year Tuition and Fee Plan, is not proposing any tuition increases for the Dental Hygiene (DH) or Doctor of Dental Surgery (DDS) programs.
- SOD, following the 5-Year Tuition and Fee Plan, is not proposing any school specific incidental, course, or laboratory fee increases for Fall 2016 or Fall 2017.

Medical School (MS):

- MS, following its original 5-Year Tuition and Fee Plan, is proposing a tuition increase of \$500/year for the M.D. Program in the Resident Designated tuition for both Fall 2016 and Fall 2017.
 - Resident Designated Tuition will increase in Fall 2016 from \$3,725/year to \$4,225/year.
 - Resident Designated Tuition will increase in Fall 2017 from \$4,225/year to \$4,725/year.
- MS, following the 5-Year Tuition and Fee Plan, is proposing two school specific incidental fee increases.
 - Standardized Patient Fee increase in Fall 2016 going from \$800/year to \$1000/year.
 - Technology Fee increase in Fall 2017 going from \$700/year to \$900/year.
- Additional revenue from the tuition and fee increases will be used towards resources needed for the implementation of the newly revised M.D. Curriculum scheduled to begin in Fall 2016. The recruitment and retention of faculty as more faculty will be required as small group facilitators, scholarly concentration mentors and career focus track mentors. Increased standardized patient use for clinical skills instruction and assessments, with more advanced use of cutting-edge technology in the development of high quality videos, web-based modules and custom generated examinations.
- MS, following the original 5-Year Tuition and Fee Plan, is not proposing any laboratory or course fee increases for Fall 2016 and Fall 2017.

School of Nursing (SON):

- SON, following its original 5-Year Tuition and Fee Plan, is proposing tuition increases for both the undergraduate and graduate programs for both Fall 2016 and Fall 2017.
 - Resident Undergrad Designated Tuition will increase in Fall 2016 from \$140/SCH to \$146/SCH. Fall 2017 it will increase from \$146/SCH to \$152/SCH.

Summary of Proposed Tuition and Fee Plan: UT Health Science Center at Houston

- Resident Graduate Designated Tuition will increase in Fall 2016 from \$144/SCH to \$156/SCH. Fall 2017 it will increase from \$156/SCH to \$169/SCH.
- Non-Resident Undergrad Designated Tuition will increase in Fall 2016 from \$381/SCH to \$405/SCH. Fall 2017 it will increase from \$405/SCH to \$429/SCH.
- Non-Resident Graduate Designated Tuition will increase from \$137/SCH to \$147/SCH. Fall 2017 it will increase from \$147/SCH to \$158/SCH.
- Non-Resident Graduate Differential Tuition will increase from \$369/SCH to \$405/SCH. Fall 2017 it will increase from \$405/SCH to \$442/SCH.
- SON, following the original 5-Year Tuition and Fee Plan, is proposing school specific incidental fees and course fees for Fall 2016 and Fall 2017. SON is also requesting an EXCEPTION to the Plan by proposing a new incidental fee titled, Portfolio Fee.
 - Clinical Placement Fee increase in Fall 2016 going from \$135/semester to \$145/semester. No increase for this fee in Fall 2017.
 - Nursing Achievement Exam-BSN (NCLEX) increase in Fall 2016 going from \$180/semester to \$200/semester. No increase for this fee in Fall 2017.
 - Simulation Fee increase in Fall 2016 going from \$165/semester to \$175/semester. No increase for this fee in Fall 2017.
 - EXCEPTION NEW FEE: Portfolio Fee proposed at \$50/semester beginning Fall 2016 for all undergraduate and graduate students. This fee will support new software and personnel needed to track, advise, coach and maintain the increased number of students progressing through various degree programs.

School of Public Health (SPH):

- SPH, following its original 5-Year Tuition and Fee Plan, is proposing tuition increases for Resident and Non-Resident Designated and Differential tuition for Fall 2016 and Fall 2017.
 - Resident Designated Tuition will increase in Fall 2016 from \$113/SCH to \$123/SCH. Fall 2017 it will increase from \$123/SCH to \$133/SCH.
 - Non-Resident Designated Tuition will increase in Fall 2016 from \$107/SCH to \$116/SCH. Fall 2017 it will increase from \$116/SCH to \$125/SCH.
 - Non-Resident Differential Tuition will increase in Fall 2016 from \$325/SCH to \$358/SCH. Fall 2017 it will increase from \$358/SCH to \$390/SCH.
- SPH, following its original 5-Year Tuition and Fee Plan, is not proposing any new incidental or laboratory fees for Fall 2016 and Fall 2017. SPH is requesting an EXCEPTION to the Plan by proposing an increase to the SPH Dietetic Internship Course Practicum Fee (PH 9997).
 - EXCEPTION: Proposed increase of \$1500.00 to the Dietetic Internship Course Practicum Fee (Course PH 9997, Sec. 800 and 850 only) from \$3000.00 to \$4,500.00 for a 24-month program. This increase of the course practicum fee will support the recruitment and retention of teaching faculty, support personnel for the cooking demonstration laboratory training and supplies and maintenance upkeep for the new simulation lab/kitchen. This internship practicum fee has not increased since 2009. The new increase in the course fee will only apply to new incoming students entering the program for or after Fall 2016.

UNIVERSITY STUDENT SERVICES FEE (SSF):

The University of Texas Health Science Center at Houston (UTHealth) is submitting the original 5-Year Fee Plan for the proposed increases to the Student Services Fee that is

Summary of Proposed Tuition and Fee Plan: UT Health Science Center at Houston

charged across the board to all students enrolled at UTHealth. The SSF covers five student support services, 1) Recreation, 2) Health, 3) Shuttle, 4) Counseling, and 5) Student Government. The following is being proposed to increase the SSF from the current annual cost of \$532.65 to \$543.45, an approximate 2.025% overall increase to the fee:

- Fall 2016 will have no increase to the existing fee.
- Fall 2017 proposed increases for two of the support areas covered by the fee.
 - Shuttle Services will have a 10% increase from \$73.25/year to \$80.60/year. Over 90% of ridership on UTHealth shuttles are students, but the current fee only covers 25% of the cost. Contract renewal in Fall 2017 anticipates higher operational costs, plus with increased ridership there is planning to add a new bus.
 - Counseling Services will have a 10% increase from \$34.45/year to \$37.90/year. This fee covers approximately 33% of counseling costs. The fee increase will help sustain the model of providing a full time psychologist working only with students. The increase will also help support continued improvement by providing more outreach and workshops for increased anxiety and stress our students face today.

UTHEALTH STUDENT ENGAGEMENT

UTHealth, has six very diverse graduate and professional schools with program specific tuition rates and school specific incidental, course and laboratory fees, and allows each school to conduct their own Student Fees Advisory Council to review, comment and make recommendations to the Dean in regard to proposed tuition and fees.

The Student InterCouncil, the official student governance organization made up of 24 student representatives from all schools, is presented with incidental fees that affect students in all six UTHealth schools. The Student Services Fee proposed increase was presented to this group for official review, comment and vote.

UTHealth Schools and Auxiliary Enterprises (oversees the Student Services Fee) speak to specific student engagement during this process of tuition and fee increases for Fall 2016 and Fall 2017 in their individual reports attached to this summary.

Summary of Proposed Tuition and Fee Plan: U. T. Health Science Center - San Antonio

Summary of Proposed Resident Tuition and Mandatory Fee Increases

AY 2017 & AY 2018

	Fall 2015	Prop. Fall 2016	% Over Fall 2015	\$ Over Fall 2015	Prop. Fall 2017	% Over Fall 2016	\$ Over Fall 2016
Medicine	No Tuition Increase Proposed						
Dentistry							
Endodontics	\$11,436	\$11,858	3.7%	\$421	\$12,300	3.7%	\$442
Dental Hygiene	\$6,768	\$6,968	3.0%	\$200	\$7,168	2.9%	\$200
Nursing							
Undergraduate	\$8,047	\$8,229	2.3%	\$182	\$8,423	2.4%	\$194
Graduate	\$7,032	\$7,184	2.2%	\$152	\$7,346	2.4%	\$162
Health Professions							
BS Clinical Lab Sciences	\$8,003	\$8,368	4.6%	\$365	\$8,536	2.0%	\$168
BS Respiratory Care	\$8,190	\$8,579	4.8%	\$390	\$8,751	2.0%	\$172
MS Occup. Therapy	\$11,952	\$12,535	4.9%	\$583	\$12,786	2.0%	\$251
D Physical Therapy	\$10,752	\$11,281	4.9%	\$529	\$11,507	3.0%	\$226
MS Phys Asst Studies	\$17,872	\$18,756	4.9%	\$884	\$19,132	2.0%	\$376
Emergency Health Science	\$7,737	\$8,011	3.5%	\$274	\$8,171	2.0%	\$160
MS Respiratory Care	\$16,227	\$16,227	0%	\$0	\$16,551	2.0%	\$324
Biomedical Sciences	\$4,832	\$4,896	1.3%	\$64	\$4,962	1.4%	\$67
Medical Services Fee	\$159.75	\$159.75	0%	\$0	\$175.65	9.95%	\$15.90

Estimates reflect annual tuition and mandatory fees.

Projected New Revenue

School / Fee	Increase in Revenue for 2016-2017	Increase in Revenue for 2017-2018
School of Medicine	N/A	N/A
School of Dentistry (DH / Endodontics)	\$17,136	\$17,368
School of Nursing	\$106,005	\$115,844
School of Health Professions	\$94,290	\$147,791
Graduate School of Biomedical Sciences	\$13,989	\$14,804
Medical Services Fee	\$49,290	\$54,405

Revenue estimates are net of scholarship set-aside requirements.

Summary of Proposed Tuition and Fee Plan: U. T. Health Science Center - San Antonio

TUITION INCREASE JUSTIFICATION:

The proposed increases for the School of Dentistry Graduate Endodontics and Dental Hygiene undergrad programs will be utilized to provide competitive compensation to the endodontic and dental hygiene faculty to ensure the recruitment and retention of those of the highest quality.

The proposed increases for the School of Nursing will be used to address the costs of attracting and retaining qualified faculty.

Additional revenue for the School of Health Professions will provide the ability to have sufficient funding to cover the costs of retaining quality faculty and to invest in equipment upgrades across several programs to continue to train students at the optimal level.

The proposed increases for the Graduate School of Biomedical Sciences are intended to support the increasing costs of graduate educational programs including enhanced learning tools and software to track student milestones aimed at improving student success.

The proposed increase for the Medical Services fee would be directed toward addressing the expanded needs for health and wellness, and in particular, mental health and wellness for our students. If approved by the required student referendum, the proposed annual fee of \$175.65 in AY 2018 would still be well below what peer institutions charge in AY 2016 for their Medical Services Fee.

ENGAGEMENT OF STUDENTS:

Institutional leadership has routinely engaged and informed the Student Government Association regarding the 5-year tuition plans for all schools. In addition, administrative leadership in each school met with student leadership and held at least two forums open to the general study body where an appropriate representation of each school's student body was in attendance.

Summary of Proposed Tuition and Fee Plan: UTMDACC

Summary of Proposed Resident Tuition and Fee Increases *

	Fall 2015	Prop. Fall 2016	% Over Fall 2015	\$ Over Fall 2015	Prop. Fall 2017	% Over Fall 2016	\$ Over Fall 2016
Health Professions							
Undergrad. (15 sch)	\$1,676	\$1,919	14.5%	\$243	\$1,964	2.3%	\$45
Graduate (15 sch)	\$1,676	\$2,669	59%	\$993	\$2,714	1.7%	\$45

* Estimate reflects tuition, mandatory fees, laboratory fees and average course fees.

It includes a proposed (new) Preceptor Course Fee of \$35 per clinical preceptor course and the approximate increase in cost per semester is \$200.

Projected New Revenue

	Increase in Revenue for 2016-17	Increase in Revenue for 2017-18
Health Professions (15 semester credit hours)	\$165,350	\$13,500

How will the additional revenue be used?

The proposed increases in designated tuition and fees for the School of Health Professions (SHP) reflect the need for resources to drive innovation in education at SHP while maintaining our high-touch, small-group hands-on teaching of the health professions. Current **innovation investments** are focused in part on simulation technology in the MD Anderson simulation lab that allow our students to learn in environments that closely resemble the clinical environment, but offer a risk-free opportunity for skill development.

The additional funds realized from the **Differential Tuition** will be used to offset the increasing expenses associated with laboratory supply cost and equipment in the Genetics programs. All programs in health care education are expensive. However graduate programs are more costly than undergraduate programs in that they focus on more advanced aspects of the subject. The acquisition and maintenance of equipment is costly and with the rapid advances in healthcare ongoing investment is necessary. The materials for training students in the Genetics laboratories are also becoming more sophisticated (e.g. next gen sequencing, RNA sequencing), and this further increases costs.

All of the SHP programs require clinical preceptorships as a requirement for degree completion. The increased funding from the **Clinical Preceptor Course Fee** will be used to defray the expenses incurred in managing the preceptorships. Hospital affiliates are requiring more supervision by our core faculty adding expense for faculty to travel to affiliate sites or in some cases the need to add adjunct or part-time faculty.

Student approval of Tuition and Fee Increase

On December 1, 2015, at a Student Congress meeting, student representatives were informed that a proposal would be going forward to increase tuition and fees. The students had no objections at that time. A follow up conversation is planned in early 2016 at a future Student Congress meeting.

2. **U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, assigned for Committee consideration**

RECOMMENDATION

The proposed Consent Agenda is located at the back of the book. Consent Agenda items assigned to this Committee are on [Pages 618 - 761](#).

3. **U. T. System Board of Regents: Proposed appointments to The University of Texas System Health Care Advisory Committee**

RECOMMENDATION

Chairman Foster, Chancellor McRaven, Deputy Chancellor Daniel, and Executive Vice Chancellor Greenberg recommend the following individuals be appointed as the inaugural members of The University of Texas System Health Care Advisory Committee

- **Mr. Carrol Aulbaugh**, retired CFO of the Memorial Hermann Healthcare System
- **Mr. Charles J. Barnett**, M.H.A., FACHE, President of CognitiveScale's healthcare business unit and retired CEO of Seton Healthcare Family
- **Mr. Douglas D. Hawthorne**, M.H.A., LFACHE, Founding CEO Emeritus of Texas Health Resources
- **Eduardo Sanchez**, M.D., M.P.H., FAAFP, Chief Medical Officer for Prevention at the American Heart Association, formerly Commissioner of the Texas Department of State Health Services, and formerly Vice President and CMO for Blue Cross and Blue Shield of Texas

Detailed biographical information and a PowerPoint presentation are set forth on the following pages.

BACKGROUND INFORMATION

On August 20, 2015, the Board of Regents established The University of Texas System Health Care Advisory Committee (HCAC) to be composed of individuals who collectively have expertise in the following areas of health and healthcare operations: clinical and business operations, finance, reimbursement, law, policy, and quality of care.

HCAC members will advise the Board of Regents, the Chancellor, the Office of Health Affairs, the Office of Academic Affairs, and the U. T. System health institutions on strategic directions; major initiatives, contracts, and affiliations; recommending financial and clinical performance measures to be reviewed; reviewing operations and making recommendations as appropriate; and recommending policy for approval by the Board of Regents or the Chancellor.

U. T. System Health Care Advisory Committee

Carrol Aulbaugh

Mr. Aulbaugh served for 14 years as the Chief Financial Officer of the Memorial Hermann Healthcare System, retiring from that position in 2013. Prior to his work at Memorial Hermann, Mr. Aulbaugh worked at the Sisters of Mercy Health System in Saint Louis for the first seven years as the Chief Financial Officer, followed by three years as the Chief Operating Officer.

The first two decades of his career in the health field were spent with the Sisters of Charity Health Care System (Christus Health) in Houston in a variety of financial positions, ultimately leading to his appointment as Chief Financial Officer and then Chief Operating Officer.

Mr. Aulbaugh remains an active advisor to many health care organizations, including The University of Texas Health Science Center at Houston where he serves on the Audit Committee. In addition, he is on the Board of RediClinic in Houston, as well as the Sisters of Charity of Nazareth (Louisville) and the Sisters of Charity (St. Louis). Mr. Aulbaugh is also active with a variety of community and faith-based organizations, including serving as the Treasurer of St. Vincent de Paul in Katy, Texas, and as a Board member of both the Katy Christian Ministries and the Northwest Christian Ministries.

Mr. Aulbaugh is a native of Beaumont, Texas. He attended Southern Methodist University and graduated with a BBA in Accounting from Lamar University in Beaumont. He is married to the former Alicia Phelps and they have three children and eight grandchildren.

Charles J. Barnett, M.H.A., FACHE

Mr. Barnett is the president of CognitiveScale's healthcare business unit. He brings an illustrious 30-year career in healthcare administration to CognitiveScale's senior leadership team. Prior to CognitiveScale, Mr. Barnett served as president and CEO of Seton Healthcare Family. Under his leadership, Seton Healthcare grew from a \$200 million to a \$2.5 billion organization. Subsequently, he was president of Healthcare Operations at Ascension Health prior to returning to Seton as executive board chair, where he guided the integration of Alexian Brothers Health System and Marian Health System, increasing Ascension Health's assets by \$4.1 billion to \$26 billion.

Before joining Seton, Mr. Barnett was the vice president and chief operating officer of Fairfax Hospital in Falls Church, VA. Mr. Barnett is a Fellow of the American College of Healthcare Executives (FACHE) and has earned numerous promotions, awards and accolades from the healthcare industry, former employers, and national and local organizations. These include being appointed a member of the Organizing Committee for the development of a medical school at The University of Texas at Austin, Chair of the Capitol Area United Way, Austin Partners in Education, and Children's Optimal Health. Mr. Barnett was named Austinite of the Year in 2009 for his various accomplishments. He received the Heart Association's Distinguished Service Award and the Rostow Award for community leaders who have made a difference in the lives of children.

Mr. Barnett earned a master's degree in Healthcare Administration from Xavier University and a bachelor's and master's degree from the University of Cincinnati. Mr. Barnett has also authored articles on a variety of healthcare issues and has presented at numerous national healthcare conferences.

Douglas D. Hawthorne, M.H.A., LFACHE

Mr. Hawthorne is the Founding Chief Executive Officer Emeritus of Texas Health Resources (Texas Health). At the helm, he oversaw the health system with 24 acute care and short-stay hospitals that are owned, operated, joint-ventured, or affiliated with Texas Health Resources.

The health system includes the Texas Health Presbyterian, Texas Health Arlington Memorial, and Texas Health Harris Methodist hospitals, a large physician group, outpatient facilities, and home health, preventive and fitness services, and an organization for medical research and education. Texas Health also has relationships with helicopter air ambulances and other health-related ventures.

Mr. Hawthorne was born in Orange, N.J., in 1947, and grew up in San Antonio, Texas. He earned his Bachelor of Science degree and his Master's degree in Health Care Administration from Trinity University in San Antonio. He served Presbyterian Healthcare Resources in many roles since his graduation in 1971.

Guided by the mission of improving the health of the people in the communities served by Texas Health, Hawthorne successfully implemented a unique vision and conquered several challenges within the system and his industry. Perhaps the largest of these is overseeing the joining of several highly successful healthcare brands - Presbyterian Healthcare Resources, Harris Methodist Hospitals, and Arlington Memorial Hospital - a move that helped create Texas Health Resources in 1997. Texas Health has been reaping the benefits of his strategy and vision ever since and has enjoyed a successful integration of the organizations into one health system that serves one in every four people in North Texas.

Under Hawthorne's leadership, Texas Health and its member organizations have received numerous awards. Four hospitals within Texas Health have been named among the Top 100 Hospitals in America nationally, regionally, or for clinical excellence. The Greater Dallas Community Relations Commission and Dallas Together Forum have honored Texas Health for its commitment to diversity. In 1995 and 1998, the American Hospital Association presented Texas Health with its coveted NOVA Award for outstanding community service.

In addition to helping lead the formation of Texas Health, Hawthorne's other notable career achievements include six mentions in seven years (2003-2009) in *Modern Healthcare* magazine's list of 100 Most Powerful People in Health Care, receiving the *Modern Healthcare* CEO IT award in 2008, receiving the Diversity Ambassador of the Year Award from the American Red Cross Chisholm Trail Chapter, receiving the Texas Hospital Association Trustee Award in 2004, receiving the American College of Healthcare Executives 2002 Gold Medal Award, serving as chairman of the Dallas-Fort Worth Hospital Council and the Texas Hospital Association, receiving the Earl M. Collier Award for Distinguished Hospital Administration in 1994 from the Texas Hospital Association and receiving the Boone Powell Sr. Award of Excellence for distinguished hospital administration by the Dallas-Fort Worth Hospital Council in 1996.

Eduardo Sanchez, M.D., M.P.H., FAAFP

Dr. Sanchez is Deputy Chief Medical Officer for the American Heart Association (AHA). He brings an interest and expertise in prevention and population health to AHA. From 2008 until March 2013, he served as Vice President and Chief Medical Officer (CMO) for Blue Cross and Blue Shield of Texas (BCBSTX) where he focused on worker and worksite wellness, clinical prevention, and chronic disease management, particularly diabetes and cardiovascular disease. Dr. Sanchez led the Institute for Health Policy at the University of Texas (UT) School of Public Health as its director from 2006 to 2008, and from 2001 to 2006, he served as Texas' state

health officer, Commissioner of the Texas Department of State Health Services from 2004 to 2006 and the Texas Department of Health from 2001 to 2004. And he served as the local public health officer in Austin-Travis County from 1994 to 1998.

Dr. Sanchez currently serves as Chair of the Partnership for Prevention Board of Directors and Chair of the National Commission on Prevention Priorities. He chairs the Texas Public Health Coalition. From 2008 to 2012, he served as chair of the Advisory Committee to the Director of the Centers for Disease Control and Prevention. He serves on the newly formed Institute of Medicine's Roundtable on Obesity Solutions.

He is the recipient of the 2011 Association of State and Territorial Health Officials (ASTHO) Alumni Award and the 2011 Texas Public Health Association (TPHA) James E. Peavy Memorial Award. In 2005, he was awarded the Texas School Health Association (TSHA) John P. McGovern Award and the 2005 American Academy of Family Physicians (AAFP) Public Health Award.

Dr. Sanchez received his M.D. from the University of Texas Southwestern Medical School in Dallas, an M.P.H. from the University of Texas Health Science Center at Houston School of Public Health, and an M.S. in biomedical engineering from Duke University. He holds a B.S. in biomedical engineering and a B.A. in chemistry from Boston University. Dr. Sanchez is board certified in family medicine.

The University of Texas System Health Care Advisory Committee

Raymond S. Greenberg, M.D., Ph.D.
Executive Vice Chancellor for Health Affairs
U. T. System

U. T. System Board of Regents' Meeting
Health Affairs Committee
February 2016



U. T. System Health Care Advisory Committee

At the August 2015 meeting of the U. T. System Board of Regents, the Board approved a new advisory body composed of individuals who collectively have expertise in the following areas of health and health care operations:

- Clinical and business operations
- Finance
- Reimbursement
- Law
- Policy
- Quality of care



U. T. System Health Care Advisory Committee

The Chairman of the Board of Regents, the Chancellor, the Deputy Chancellor, and the Executive Vice Chancellor for Health Affairs propose the following be appointed to serve on the inaugural Committee:



Carrol Aulbaugh

Charles J. Barnett,
M.H.A., FACHE



Douglas D. Hawthorne,
M.H.A., LFACHE

Eduardo Sanchez,
M.D., M.P.H., FAAFP



4. **U. T. Health Science Center - Tyler: Approval to create the School of Community and Rural Health**

RECOMMENDATION

The Chancellor concurs in the recommendation of the Deputy Chancellor, the Executive Vice Chancellor for Health Affairs, and President Calhoun that approval be granted to create the School of Community and Rural Health at U. T. Health Science Center - Tyler.

A PowerPoint presentation is set forth on the following pages.

BACKGROUND INFORMATION

The proposed U. T. Health Science Center - Tyler School of Community and Rural Health will initially administer the Master of Public Health degree program, which has been approved by the Executive Vice Chancellor for Health Affairs as required by Regents' *Rules and Regulations*, Rule 40307. U. T. Health Science Center - Tyler will be the only institution in Texas to offer a generalized MPH program specializing in rural community health and the unique needs of rural Texans and other underserved populations with similar challenges.

The creation of the new School has been approved by the Executive Vice Chancellor for Health Affairs pending approval by the Board. Upon approval by the Board of Regents, the Office of Health Affairs will notify the Texas Higher Education Coordinating Board of the change so that the U. T. Health Science Center - Tyler administrative unit structure can be updated.

Texas Education Code Section 65.11 authorizes the Board of Regents to provide for the "administration, organization, and names of the institutions and entities in The University of Texas System in such a way as will achieve the maximum operating efficiency of such institutions and entities[.]"

The U. T. Health Science Center - Tyler School of Community and Rural Health

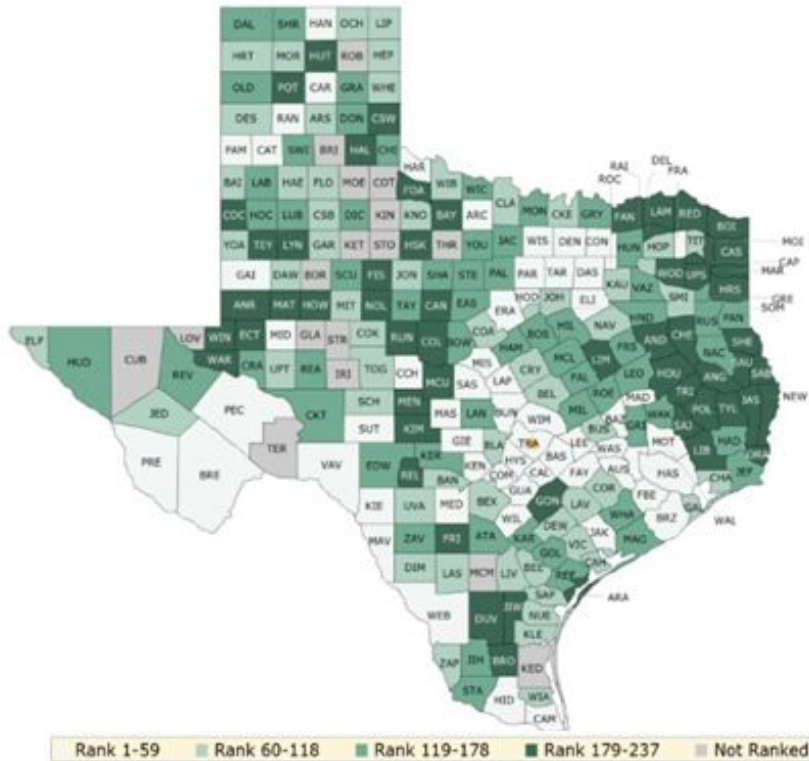
Kirk Calhoun, M.D., President

David Lakey, M.D., Senior Vice President for Population Health

U. T. System Board of Regents' Meeting
Health Affairs Committee
February 2016



The Health Challenges in Northeast Texas



- The population of Northeast Texas is older, poorer, less educated, and at greater risk of early death than the state average
- No community health program in Texas focused on meeting the needs of rural Texans



Recognized and Successful History of Addressing Community and Rural Health Needs

- Heartland National Tuberculosis Center in *nine states*
- Southwest Agricultural Safety and Health Center in *five states*
- Texas Institute of Occupational Safety and Health
- Public Health Lab of East Texas – Member of the National Bioterrorism Laboratory Response Network
- Physician training programs focused on rural primary care
- Anchor institution for the 1115 Waiver in Northeast Texas
- Nearly \$40 million annually in federally funded demonstration projects focused on population health



The Opportunity: Creating an Applied Approach to Community and Rural Health

- Designed to be accessible and affordable
- Utilizes existing assets and faculty, with some recruitment
- Addresses critical community health workforce shortages
- Focuses on meeting the needs of rural communities
- Prepares students to solve problems in their hometowns
- Cross-trains rural physician residents



Next Steps

1-6 months

- Obtain Texas Higher Education Coordinating Board and accreditation approvals
- Recruit department chair and develop curriculum

6-12 months

- Recruit core faculty and finalize coursework development
- Advertise program and recruit first-year students

12-18 months

- Enroll first cohort of 15 full-time student equivalents
- Recruit additional faculty

18-24 months

- Grow program to target of 35 full-time student equivalents
- Graduate first student cohort (Spring 2019)



5. U. T. System: Report on a U. T. Systemwide Clinical Data Network

REPORT

Elmer Bernstam, M.D., MSE, Associate Dean for Research and Professor in the School of Biomedical Informatics at U. T. Health Science Center - Houston, will report on the rationale for and development of a coordinated clinical data network for U. T. System institutions.

Dr. Bernstam holds the joint appointment of Associate Dean for Research and Professor in the School of Biomedical Informatics and is the Director of the Biomedical Informatics Group at the institution's Center for Clinical and Translational Services (CCTS). The CCTS lab created and maintains the institution's clinical data warehouse, which contains health data for over 400,000 patients.

A PowerPoint presentation is set forth on the following pages.

Planning for a U. T. Systemwide Clinical Data Network

Elmer Bernstam, M.D., MSE, Associate Dean for Research and Professor
U. T. Health Science Center - Houston, School of Biomedical Informatics

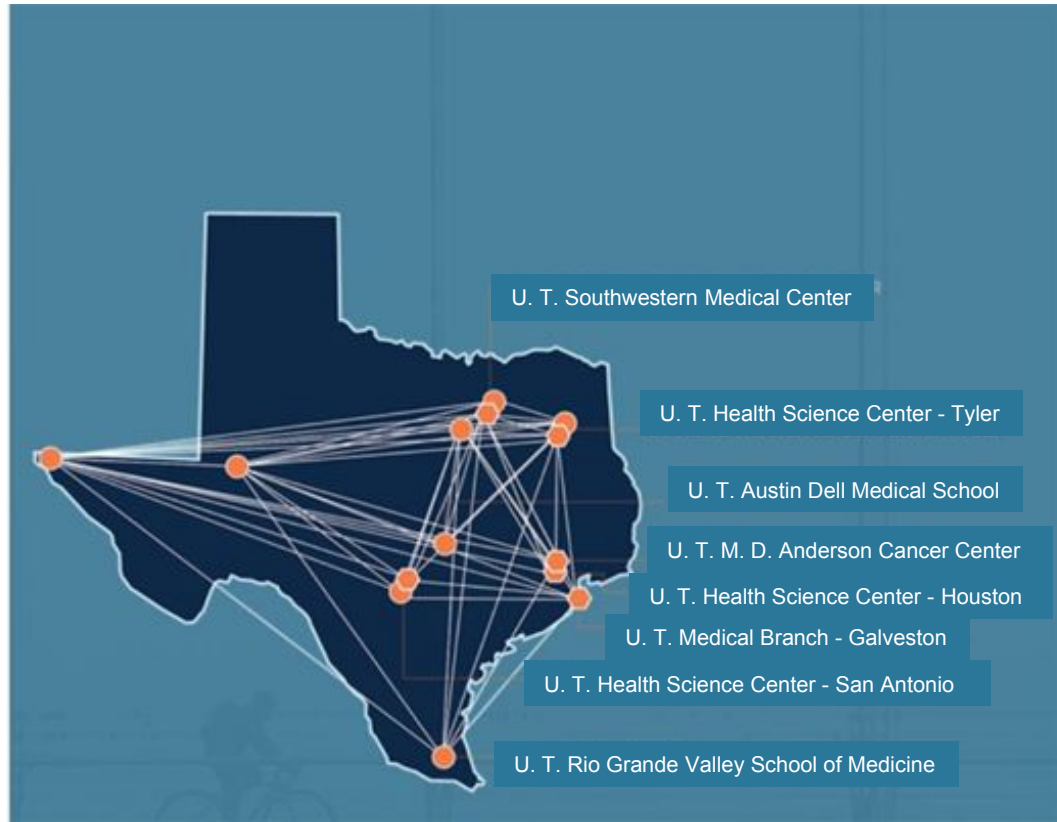
U. T. System Board of Regents' Meeting
Health Affairs Committee
February 2016





THE U. T. SYSTEM HEALTH CARE ENTERPRISE

U. T. System will develop a collaborative health care enterprise that will leverage U. T. System's size and expertise, and connect U. T. System's regional capabilities to provide Texas, the nation, and the world with the finest health care possible.



What is a Clinical Data Network?

- Electronic Health Record (EHR)
 - Transactional system for clinical use
 - Single patient queries
- Clinical Data Network (CDN)
 - Data aggregation and reporting for:
 - Research
 - Administration
 - Patient safety and bio-surveillance



Creating a Clinical Data Network: A rigorous process

- Necessary Considerations
 - HIPAA/Security and all other applicable state and federal laws guarding Individually Identifiable Information
 - Data Stewardship – continuing and strengthening data stewardship as an integral component of the U. T. System and U. T. System institutional culture
- U. T. System and U. T. System Institutional Participants
 - Privacy Officer
 - Legal Counsel
 - Compliance Offices
 - Policy Offices



Components of a Clinical Data Network

- Hardware and software infrastructure
 - Informatics for Integrating Biology and the Bedside (i2b2) (data models, user interface)
- Processes and procedures
 - Extract/Transform/Load (ETL)
 - Regulatory/Political: How are data accessed? By whom?
 - Necessary agreements with assurances may vary depending on the CDN Model selected and the justification for data needs (e.g., BAA, Data Use Agreements, Interagency Agreements)
- Data
 - Vocabularies, standards, accuracy



Progressively harder



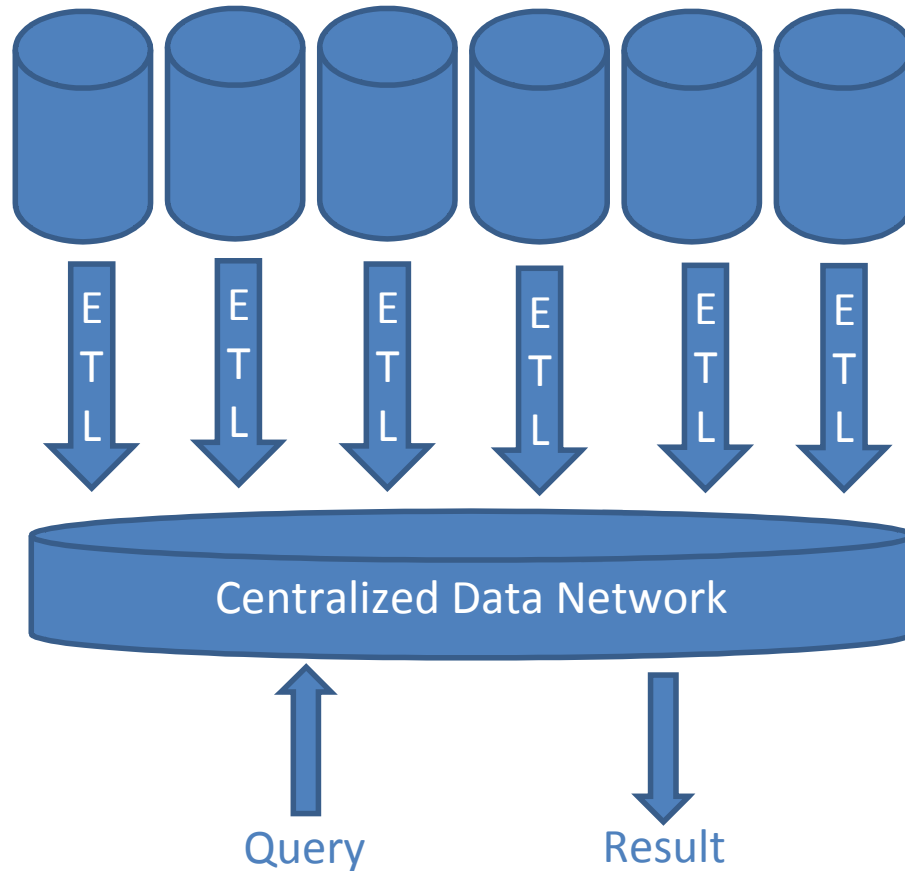
Centralized Model

Advantages

- Efficient queries
- Single set of policies and procedures
- Simpler structure

Disadvantages

- Single point of failure
- Everyone must agree to send data off site



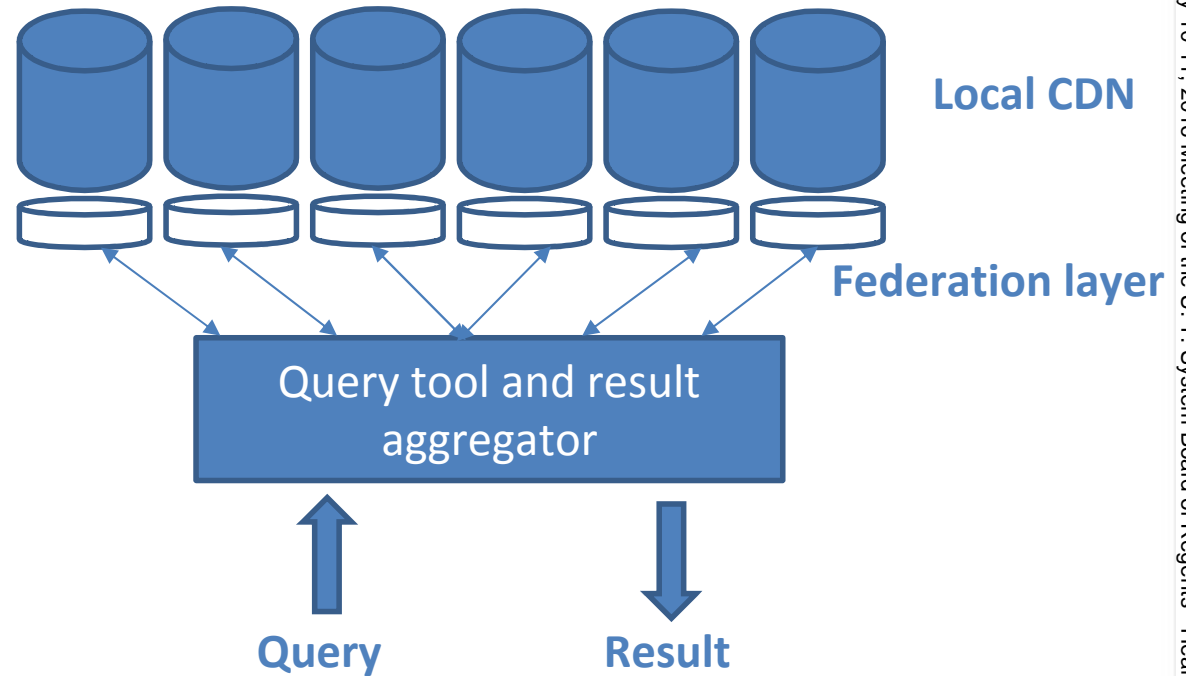
Distributed Model

Advantages

- Institutional control of data
- Standardized format
- Retained ownership

Disadvantages

- Sites must manage a data warehouse locally
- Coordinated change



Data Sources

- Clinical data
 - Electronic health records
 - Departmental systems
 - Patient-entered data (e.g., FitBit)
- Administrative data
 - Charges
 - Claims
 - Costs



Kinds of Questions that Can be Asked

- Clinical outcomes
 - Comparative effectiveness research
 - Do stroke patients do better with Drug A or Drug B?
 - What is the rate of post-operative infections?
- Financial metrics
 - How much does it cost to perform a coronary artery bypass graft surgery at U. T. System institutions?



i2b2 Example

The screenshot shows the i2b2 Query & Analysis Tool interface. The main window is titled "i2b2 Query & Analysis Tool" and includes a top navigation bar with "Project: Abstracts", "User: Elmer Bernstam", and "Find Patients | Analysis Tools | Message Log | Help | Logout".

The interface is divided into several sections:

- Navigate Terms / Find Terms:** A tree view on the left showing a hierarchy of medical terms. The selected path is "DISEASES OF THE CIRCULATORY SYSTEM" > "ACUTE RHEUMATIC FEVER" > "CEREBROVASCULAR DISEASE".
- Workplace:** A large empty area for displaying query results.
- Previous Queries:** A list of recent queries, including "ANTIC->=85 -intra@14:56:43 [7-24-2013]", "ANTIC->=85 -intra@14:48:00 [7-24-2013]", "Diastolic 3@18:27:27 [7-15-2013]", "Maligna->=85 ye@14:27:35 [7-9-2013]", and "Maligna-AFRICAN@14:23:57 [7-9-2013]".
- Query Tool:** The central area for building a query. It shows a "Query Name" field with the value "ANTIC->=85 -intra@14:56:43". Below it, a "Temporal Constraint" dropdown is set to "Treat all groups independently".
- Query Construction:** Three groups of terms are defined:
 - Group 1:** "ANTICOAGULANTS"
 - Group 2:** ">=85 years old"
 - Group 3:** "Intracerebral hemorrhage" and "Subarachnoid hemorrhage"
 The groups are connected by "AND" operators. Below each group is a green box labeled "one or more of these".
- Query Status:** A section at the bottom right showing the results of the query:
 - Finished Query:** "ANTIC->=85 -intra@14:56:43" [21.3 secs]
 - Compute Time:** 19.1 secs
 - Number of patients for "ANTIC->=85 -intra@14:56:43":** patient_count 20



Benefits: Piece of the Learning Health Care System

- More efficient health care for Texans
- Discovery to improve the health care for Texans
- Improved competitiveness research funding
 - Public (e.g., National Institutes of Health)
 - Private (e.g., pharmaceutical and biosciences industry)



Approach

- Distributed, based on i2b2 + Shared Health Research Informatics Network (SHRINE)
 - Maximum control remains with local institutions
- Start with
 - Institutions that have large health enterprises + partners
 - UTSWMC, UTHSCH, UTHSCSA, UTMB
 - Key needs + data needed to address
 - Management of clinical enterprise
 - Structured data
 - Demographics, charges/billing codes



Timelines

- December 2015
 - Establish contacts at six health institutions and two medical schools
- January-February 2016
 - Visit each of the six existing institutions
 - Identify priorities, existing data sources
- March-April 2016
 - Validate findings with each institution
 - Formulate project plan



6. **U. T. System: Approval of \$10.8 million from the Available University Fund to be deployed over four fiscal years to support a new U. T. System Virtual Health Network Infrastructure, including the implementation of a pilot telemedicine project across the U. T. System health institutions; finding that the expenditure is appropriate; and authority to substitute Permanent University Funds for Available University Funds**

RECOMMENDATION

The Chancellor concurs with the recommendation of the Deputy Chancellor, the Executive Vice Chancellor for Health Affairs, and the Executive Vice Chancellor for Business Affairs that the U. T. System Board of Regents

- a. approve \$10.8 million from the Available University Fund (AUF) to be deployed over four fiscal years to support a new U. T. System Virtual Health Network Infrastructure, including the implementation of a pilot telemedicine project across the U. T. System health institutions;
- b. find that the expenditure of AUF for this purpose is appropriate in furtherance of the System's responsibility to provide oversight and coordination of the activities of the System and that benefit a broad number of the institutions of the System, in this case through a centralized telemedicine entity linking all U. T. System health institutions into connected virtual care hubs as an integrated healthcare provision model for quality care management; and
- c. authorize the U. T. System Associate Vice Chancellor, Controller, and Chief Budget Officer to substitute Permanent University Funds (PUF) for AUF after consultation with the Chancellor for appropriate capital expenditures.

A PowerPoint presentation is set forth on the following pages.

BACKGROUND INFORMATION

The U. T. System Virtual Health Network Infrastructure would benefit a broad number of U. T. System institutions. Funding for this initiative will be issued over a four-year time period and evaluated annually by the Executive Vice Chancellor for Health Affairs by success in attaining high performance metrics, such as quality control reliability and low variability. Funds would be provided for technical support and capital purchases to implement this initiative.

Eight full-time equivalent positions are expected to be supported by the requested funds.

Advance notice of this potential initiative was provided to the Legislative Budget Board as required by Rider 8, Page III-61 of the current *General Appropriations Act*.

A Quantum Leap in Healthcare: The University of Texas Systemwide Virtual Health Network

Raymond S. Greenberg, M.D., Ph.D.
Executive Vice Chancellor for Health Affairs
The University of Texas System

David L. Callender, M.D., MBA, FACS
President
The University of Texas Medical Branch at Galveston

Alexander H. Vo, Ph.D.
Vice President, Telemedicine and Health Services Technology
The University of Texas Medical Branch at Galveston

U. T. System Board of Regents' Meeting
Health Affairs Committee
February 2016



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A Complex Problem

- Healthcare access is a challenge
- Lacking coordination between physical and behavioral health
- Healthcare costs continue to rise
- Diminishing resources allocated for healthcare
- Medical workforce shortage
- Increasing patient population; being insured does not guarantee access
- Challenging reimbursements
- Chronic and aging populations

TRADITIONAL HEALTHCARE DELIVERY

- Limited Access
- Inconsistent Coordination



A Challenging Prospect

Texas has:

- More than 630 hospitals
- One of the largest medical complexes in the U.S. (Texas Medical Center)
- One of the largest academic health systems in the U.S. (The University of Texas at Austin)

Life Tributes

Business

small business

ExpressNews.com

Wednesday, December 9, 2015 | SECTION B | SAN ANTONIO EXPRESS-NEWS

Texas ranks last in health access and affordability

Report: State's overall performance up slightly

By Peggy O'Hare
STAFF WRITER

Texas' overall health care performance improved slightly, but the Lone Star State was ranked dead last among all states nationwide for health access and affordability and second worst for prevention and treatment in a nonprofit health research group's assessment released late Tuesday.

Perhaps most alarming, the rankings indicate Texas has slipped when it comes to childhood vaccinations. Only 64 percent of all Texas children between 19 and 35 months old received all their recommended vaccinations last year, down from 72 percent in 2013, according to the data compiled by the Commonwealth Fund.

Texas was one of 16 states that saw its childhood vaccination rates slip in the assessment, but it stood out for having the biggest drop.

ExpressNews.com
Interactive: A look at health care access, affordability in Texas.
Document: See how Texas ranked in the report.

Dr. David Blumenthal, president of the Commonwealth Fund, suggested that cost may be a factor, noting he's been told the cost for a full complement of childhood vaccinations has risen from a few hundred dollars to around \$3,000.

Yet the state-by-state rankings showed Texas has improved its quality of patient care in some categories and — like all states — reduced its number of uninsured residents.

Health continues on B2

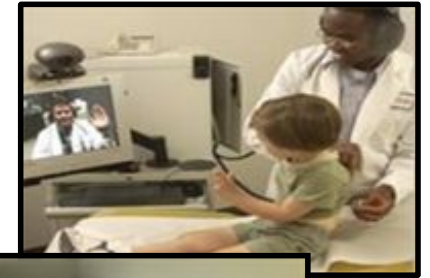
We can change this narrative!



A Compelling Opportunity

Technology is rapidly becoming a cornerstone in healthcare as it:

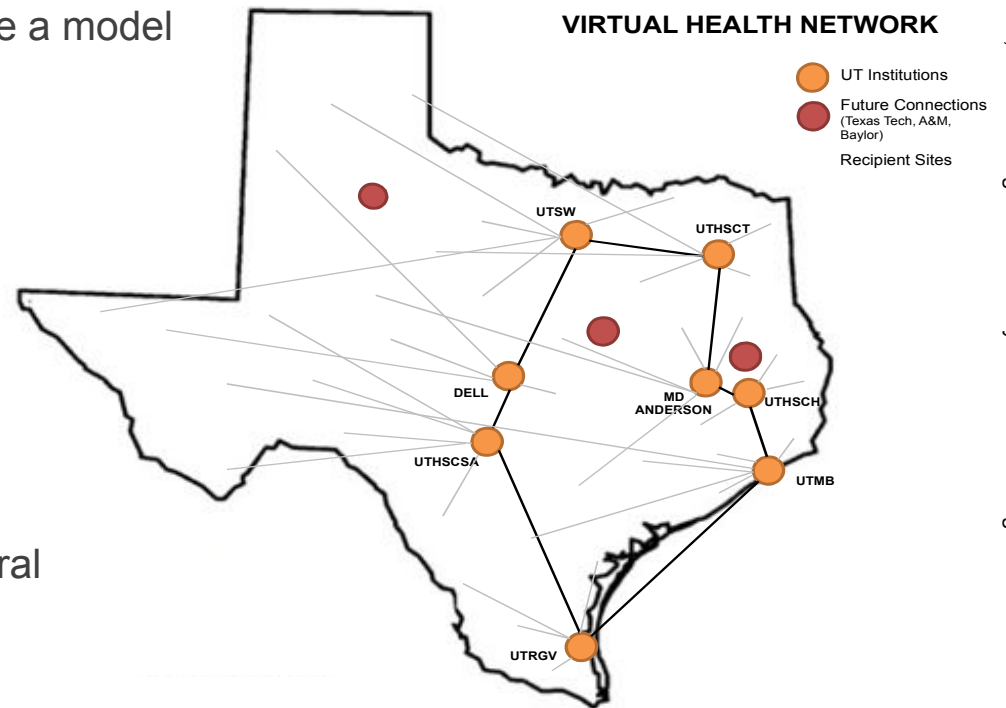
- Provides/increases access
- Coordinates care
- Mitigates costs
- Multiplies workforce output
- Adds value to services
- Strengthens quality assurance
- Promotes treatment advances



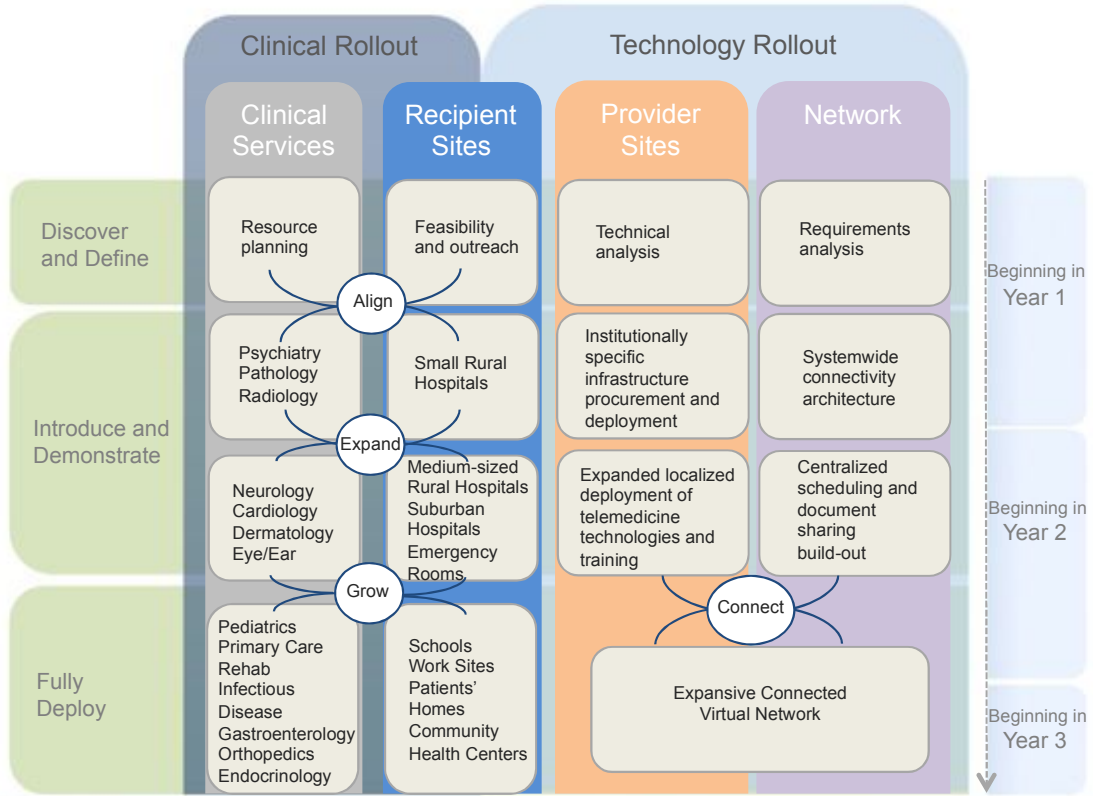
Taking the Lead in Telehealth

U. T. System can leverage technology to create a model for care delivery that:

- Expands current programs
- Initiates innovations
- Provides access to every citizen
- Facilitates virtual centers of excellence
- Serves as a conduit for coordinated care
- Bridges access to specialty services for rural providers and their patients
- Invites collaborations across institutions



Phased Implementation



Tasks and Targeted Milestones

	MAJOR TASKS		MILESTONES
	Clinical	Technology	
Discover and Define	<ul style="list-style-type: none"> • Feasibility assessment to discern clinical capacity/needs • Recipient sites identification 	<ul style="list-style-type: none"> • Technical analyses for provider and recipient sites • Requirements analysis for scheduling and documentation sharing platforms 	<ul style="list-style-type: none"> • Completed feasibility analysis of clinical capacity/needs • List of potential recipient sites • Completed technical analysis for telemedicine technologies
Introduce and Demonstrate	<ul style="list-style-type: none"> • Build-up of clinical capacities • Outreach to additional recipient sites • Training of clinical staff • Initiate services • Expansion of clinical offerings • Expansion into additional recipient sites 	<ul style="list-style-type: none"> • Procure and deploy telemedicine technologies to institutions and recipient sites • Protocols/Standard operating procedures development and training • Develop architecture for scheduling and document sharing • Agile development of connecting platforms • Testing of connecting platforms • Expansion rollout of telemedicine technologies 	<ul style="list-style-type: none"> • Deployment of telemedicine technologies to all U.T. System institutions and selected recipient sites • 25% increase in telemedicine encounters per institution • 25% increase in number of clinical services offered by telemedicine • 25% increase in number of recipient sites • Prototypes of scheduling and document sharing platforms • Initial testing of connecting platforms completed
Fully Deploy	<ul style="list-style-type: none"> • Expansion of a full range of clinical offerings • Expansion into nontraditional clinical sites • Coordinated referrals • Virtualized centers of excellence 	<ul style="list-style-type: none"> • Scheduling and document sharing platforms rollout and training • Continued telemedicine technologies rollout into nontraditional sites • Coordinated referral management set-up • Coordinating and contracting entity set-up 	<ul style="list-style-type: none"> • 50% increase in telemedicine encounters per institution from inception of VHN • 50% increase in clinical services offered • 25% increase in nontraditional recipient sites • Completed rollout of connecting platforms • Registration of coordinating entity



Expected Outcomes

<p>Discover and Define</p> <ul style="list-style-type: none"> • Current landscape of telemedicine initiatives at each U.T. System institution • Clinical capacity build-up • Recipient sites for expansion and/or outreach • Technology selection 	<p>INSTITUTIONAL FOCUS</p>
<p>Introduce and Demonstrate</p> <ul style="list-style-type: none"> • Shared or common goals and strategies across U.T. System • Deployment of technologies • Increased access and utilization of medical specialties • Increased support to small rural hospitals and providers • Connecting platforms coming on line 	<p>SYSTEM FOCUS</p>
<p>Fully Deploy</p> <ul style="list-style-type: none"> • Expansion into nontraditional sites • Coordinated services across U.T. System • Connected network • Access for everyone 	<p>STATEWIDE FOCUS</p>



Impact on Healthcare for Texans

U. T. Systemwide Virtual Health Network (UTS VHN) is expected to:

- Provide an avenue for quicker and more direct access to specialty care to the citizens of Texas
- Reduce duplicative work and increase the quality of care provided
- Act as a workforce multiplier, distributing resources where needed and controlling costs
- Assist rural and small hospitals in staying operational
- Enhance negotiated rates with commercial payers for U. T. System institutions
- Create opportunities for direct contracting with self-insurers
- Establish an unprecedented model of care delivery that can be replicated



Why the UTS VHN Makes Sense

<p>PROBLEM</p> <ul style="list-style-type: none"> • Access to healthcare is a challenge • Diminishing resources allocated for provision of care • Increased demand for quality care • Challenging reimbursement for care delivery • Increased competition from private health systems 	<p>SOLUTION</p> <ul style="list-style-type: none"> • Implement technologies to enhance service delivery • Connect to all U. T. System institutions for pooling of clinical capacities • Distribute care across all regions of Texas • Partner with others to capture and expand market share 	<p>UNIQUE VALUE PROPOSITION</p> <p>Connected health from all of U. T. System’s world-class medical institutions</p>	<p>UNFAIR ADVANTAGE</p> <ul style="list-style-type: none"> • Leveraging expertise from all of U. T. System’s medical institutions • Experienced and proven leadership • Partnership approach • Recognized healthcare providers 	<p>CUSTOMER SEGMENTS</p> <ul style="list-style-type: none"> • Individuals • Rural, small hospitals • Medium, suburban hospitals • Emergency departments • Health plans • Government agencies • Third party technology entities
<p>EXISTING ALTERNATIVES</p> <ul style="list-style-type: none"> • Long wait time and use of emergency services • Physical expansion to capture market share 	<p>REVENUE STREAMS</p> <ul style="list-style-type: none"> • Direct contracts • Enhanced rates • Capitated programs • Concierge programs • Preferred provider preference 	<p>KEY METRICS</p> <ul style="list-style-type: none"> • Development and deployment • Utilization • Increased quality and better outcomes • Enhanced productivity and efficiency for health systems • Increased market share • Access for rural and small hospitals 	<p>COST STRUCTURE</p> <ul style="list-style-type: none"> • Development • Technology Infrastructure • Contracted Services (administrative, logistics, training, support) • Professional Services 	<p>EARLY ADOPTERS</p> <p>Entities that are challenged with providing and maintaining health for varied populations</p>
<p>CHANNELS</p> <ul style="list-style-type: none"> • 1-degree network • Business to business • Business to consumer 				<p>HIGH LEVEL CONCEPT</p> <p>Leveraging technology to distribute renown clinical expertise to all citizens of Texas</p>



Funding Request

Phased Budget

Program Phases	Discover and Define	Introduce and Demonstrate	Fully Deploy	Program Totals
Revenue				
Board of Regents	\$2,698,893	\$4,318,229	\$3,778,449	\$10,795,575
Total Request	\$2,698,893	\$4,318,229	\$3,778,449	\$10,795,575
Expenses				
Infrastructure				
Technology Infrastructure and Maintenance	\$598,200	\$957,120	\$837,480	\$2,392,800
API Development and Implementation	\$225,000	\$360,000	\$315,000	\$900,000
Connectivity Services Broadband	\$402,000	\$643,200	\$562,800	\$1,608,000
Scheduling Software	\$120,000	\$192,000	\$168,000	\$480,000
Facility Lease and Utilities	\$48,000	\$76,800	\$67,200	\$192,000
Infrastructure Total	\$1,393,200	\$2,229,120	\$1,950,480	\$5,572,800
Contracted Services				
Design, Oversight, and Administration	\$175,712	\$281,140	\$245,997	\$702,850
Logistics and Coordination	\$106,682	\$170,692	\$149,355	\$426,730
Technology Assessment and Implementation	\$150,611	\$240,977	\$210,855	\$602,442
Technical Support and Training	\$175,712	\$281,140	\$245,997	\$702,850
Business Modeling, Billing Structure, and Analysis	\$112,958	\$180,732	\$158,141	\$451,831
Business Development and Marketing	\$200,509	\$320,814	\$280,712	\$802,036
Legal and Contracting	\$200,509	\$320,814	\$280,712	\$802,036
Contracted Services Total	\$1,122,693	\$1,796,309	\$1,571,769	\$4,490,775
Professional Services *	\$135,000	\$216,000	\$189,000	\$540,000
Travel	\$48,000	\$76,800	\$67,200	\$192,000
Total Expenses	\$2,698,893	\$4,318,229	\$3,778,449	\$10,795,575

Budgetary Note

*Consultants for network architecture, commercial plan contracting, and business support services



7. **U. T. Health Science Center - San Antonio: Report on the Sam and Ann Barshop Institute for Longevity and Aging Studies**

REPORT

President Henrich will report on the Sam and Ann Barshop Institute for Longevity and Aging Studies at U. T. Health Science Center - San Antonio. A PowerPoint presentation is set forth on the following pages.

BACKGROUND INFORMATION

The Sam and Ann Barshop Center for Longevity and Aging Studies was established in 1998, and the Board approved the naming on February 14, 2001, in recognition of a gift from the Barshops. The Center was renamed the Sam and Ann Barshop Institute for Longevity and Aging Studies when it opened. The late Mr. Barshop served on the Board of Regents from 1987-1995.

The Barshop Institute is dedicated to the promotion of healthy aging. Its world-class scientific community of researchers and physicians seek discoveries to treat and ameliorate the underlying causes of aging, a cost-effective approach to broadly enhance the quality of later life.

The Sam and Ann Barshop Institute for Longevity and Aging Studies U. T. Health Science Center - San Antonio

William L. Henrich, M.D., M.A.C.P., President
U. T. Health Science Center - San Antonio

U. T. System Board of Regents' Meeting
Health Affairs Committee
February 2016



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Sam and Ann Barshop Institute for Longevity and Aging Studies

- Institute established in 1998
- In 2001, renamed for former Regent Sam Barshop and wife, Ann, who made a major gift to the institute (Barshop Institute)
- Located on approximately 166 acres on the Texas Research Park campus, is an internationally-recognized institute in aging science



The Barshop Institute



Sam and Ann Barshop Institute for Longevity and Aging Studies



International Recognition

- \$6.5 million federal funding, chiefly from National Institute on Aging
- Ranks first in Texas in aging research
- 120 faculty members involved
- Biology of Aging Training Grant (T32) from the National Institute on Aging, the largest training grant in the country
- Only institute in the world with four prestigious federal center grants:
 - Nathan Shock Center of Excellence in the Basic Biology of Aging
 - Claude D. Pepper Older Americans Independence Center
 - Geriatric Research, Education and Clinical Center
 - Aging Interventions Testing Program



Research Breakthroughs

- Rapamycin improves some age-related diseases (Alzheimer’s disease, cancer)
- The paradox of reduced insulin signaling an increased lifespan – a novel concept
- Paradigm-shifting findings on dietary restriction
- Naked mole-rats show negligible effects of aging despite high oxidative stress levels



Challenges/Opportunities

- Texas Research Park: 1,236 acres, northwest San Antonio, 23 miles from U. T. Health Science Center - San Antonio Campus
- The entire mission of the Texas Research Park is changing: the Park has sold 257 acres and plans to sell an additional 700 acres to commercial developers for mixed purpose uses





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FOR
FACILITIES PLANNING AND CONSTRUCTION COMMITTEE**

Committee Meeting: 2/10/2016

Board Meeting: 2/11/2016
Galveston, Texas

Brenda Pejovich, Chairman
David J. Beck
Alex M. Cranberg
Wallace L. Hall, Jr.
R. Steven Hicks

	Committee Meeting	Board Meeting	Page
Convene	<i>12:30 p.m.</i> <i>Chairman Pejovich</i>		
1. U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, assigned for Committee consideration	<i>12:30 p.m.</i> Discussion	Action	379
<u>Additions to CIP</u>			
2. U. T. Dallas: Student Housing Phase VII - Amendment of the FY 2016-2021 Capital Improvement Program to include project (Preliminary Board approval)	<i>12:35 p.m.</i> Action <i>President ad interim Wildenthal</i>	Action	380
3. U. T. Health Science Center - Houston: Academic Extension Building Renovation - Amendment of the FY 2016-2021 Capital Improvement Program to include project; approval of total project cost; appropriation of funds; authorization of institutional management; and resolution regarding parity debt (Final Board approval)	<i>12:45 p.m.</i> Action <i>Mr. O'Donnell</i>	Action	382
<u>Design Development Approval</u>			
4. U. T. Southwestern Medical Center: U. T. Southwestern Monty and Tex Moncrief Medical Center at Fort Worth - Amendment of the FY 2016-2021 Capital Improvement Program to include project; approval of total project cost; approval of design development; approval of institutional management; appropriation of funds and authorization of expenditure; and resolution regarding parity debt (Final Board approval)	<i>12:50 p.m.</i> Action <i>President Podolsky</i> <i>Mr. O'Donnell</i>	Action	384
Adjourn	<i>1:00 p.m.</i>		

1. **U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, assigned for Committee consideration**

RECOMMENDATION

The proposed Consent Agenda is located at the back of the book. The Consent Agenda item assigned to this Committee is on [Page 762](#).

2. U. T. Dallas: Student Housing Phase VII - Amendment of the FY 2016-2021 Capital Improvement Program to include project (Preliminary Board approval)

RECOMMENDATION

The Chancellor concurs in the recommendation of the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor for Business Affairs, and President *ad interim* Wildenthal that the U. T. System Board of Regents amend the FY 2016-2021 Capital Improvement Program (CIP) to include the Student Housing Phase VII project at U. T. Dallas as follows:

Project No.:	302-997	
Project Delivery Method:	Construction Manager-at-Risk	
Substantial Completion Date:	July 2017	
Total Project Cost:	<u>Source</u> Revenue Financing System Bond Proceeds ¹	<u>Proposed</u> \$33,500,000
Funding Note:	¹ Revenue Financing System (RFS) proposed to be repaid from rental revenue	
Investment Metric:	<ul style="list-style-type: none">• Directly support the University's Strategic Plan imperative of increasing enrollment to more than 27,500 students by 2017	

BACKGROUND INFORMATION

Previous Action

On October 7, 2015, the Chancellor approved this project for Definition Phase.

Project Description

U. T. Dallas is critically short of housing space to accommodate current and new students who wish to live on campus. In addition to increased student enrollment, a much larger percentage of today's students are full-time, residential students who make use of campus facilities. The University has constructed 2,200 beds in the past six years and currently has a waiting list of 1,200 students.

The proposed residence hall will contain a mix of one-bedroom, two-bedroom, and four-bedroom configurations for a total of 400 beds. Encompassing approximately 165,000 gross square feet, the four-story project will provide entry-level areas for reception, administration, a common laundry facility, and a computer lounge. Study space for students will be located on each floor. Exterior amenities will include surface parking, bike racks, and patio seating areas.

Current student housing is operating at 100% occupancy. U. T. Dallas provides approximately 4,750 beds for students, and the total number of beds will increase to 5,550 with the completion of the Student Housing Phase VI and VII projects.

This proposed project has been approved by U. T. System staff and meets the criteria for inclusion in the CIP. Approval of design development plans and authorization of expenditure of funding will be presented to the Board for approval at a later date.

Below is a chart comparing U. T. Dallas' housing costs:

U. T. Dallas Housing Phase	Housing Type	Building Cost *	Beds	Avg. \$/Bed	U. T. System Avg. \$/Bed
I, II, III, V	Dormitory	\$110,297,830	1,604	\$68,764	\$54,315
IV	Dormitory	\$ 37,699,038	600	\$62,832	\$54,315
VI	Apartment	\$ 30,170,000	400	\$75,425	\$69,772
VII	Apartment	\$ 26,193,521	400	\$65,484	\$69,772

* Building Costs have been escalated to 2015 dollars from the project's mid-point of construction.

3. U. T. Health Science Center - Houston: Academic Extension Building Renovation - Amendment of the FY 2016-2021 Capital Improvement Program to include project; approval of total project cost; appropriation of funds; authorization of institutional management; and resolution regarding parity debt (Final Board approval)

RECOMMENDATION

The Chancellor concurs in the recommendation of the Deputy Chancellor, the Executive Vice Chancellor for Health Affairs, the Executive Vice Chancellor for Business Affairs, and President Colasurdo that the U. T. System Board of Regents amend the FY 2016-2021 Capital Improvement Program (CIP) to include the Academic Extension Building Renovation project at U. T. Health Science Center - Houston as follows:

Project No.:	701-937	
Institutionally Managed:	Yes	
Project Delivery Method:	Construction Manager-at-Risk	
Substantial Completion Date:	November 2019	
Total Project Cost:	<u>Source</u> Revenue Financing System Bond Proceeds ¹	<u>Proposed</u> \$23,000,000

Funding Note: ¹Revenue Financing System (RFS) proposed to be repaid from indirect cost recovery and practice plan funds

- a. approve a total project cost of \$23,000,000 with funding from RFS Bond Proceeds;
- b. appropriate funds;
- c. authorize U. T. Health Science Center - Houston to manage the project budgets, appoint architects, approve facility programs, prepare final plans, and award contracts; and
- d. resolve in accordance with Section 5 of the Amended and Restated Master Resolution Establishing The University of Texas System Revenue Financing System that
 - parity debt shall be issued to pay the project's cost, including any costs prior to the issuance of such parity debt;
 - sufficient funds will be available to meet the financial obligations of the U. T. System, including sufficient Pledged Revenues as defined in the Master Resolution to satisfy the Annual Debt Service Requirements of the Financing System, and to meet all financial obligations of the U. T. System Board of Regents relating to the Financing System; and

- U. T. Health Science Center - Houston, which is a "Member" as such term is used in the Master Resolution, possesses the financial capacity to satisfy its direct obligation as defined in the Master Resolution relating to the issuance by the U. T. System Board of Regents of tax-exempt parity debt in the aggregate amount of \$23,000,000.

BACKGROUND INFORMATION

Debt Service

The \$23,000,000 in RFS debt will be repaid from indirect cost recovery and practice plan funds. Annual debt service on the \$23,000,000 RFS debt is expected to be \$1.8 million. The institution's debt service coverage is expected to be at least 2.7 times and average 3.2 times over FY 2016-2021.

Previous Actions

On May 14, 2015, the Board authorized the purchase of the land and the existing Texas Medical Center Library building for immediate office use and future development and campus expansion. The Board deferred approval of this project (formerly known as the Medical School Extension Building Renovation project) at the same meeting. On September 28, 2015, the Chancellor approved the Academic Extension Building Renovation project for Definition Phase.

Project Description

This project will renovate the five story, 160,000 gross square foot (GSF) Academic Extension Building. The institution's faculty and staff currently occupy two floors of the building, and an additional floor that is vacant offers an opportunity for future growth. The Texas Medical Center Library occupies the basement and first floor, and the Baylor College of Medicine occupies a small portion of the building. As a tenant in the building, the Texas Medical Center Library will receive a tenant improvement allowance to renovate its space. The tenant improvement allowance of \$8.6 million is included in the Total Project Cost of this project.

The close proximity of this building to the institution's medical school makes it a critical facility for the long-term future growth of the University. The original facility was constructed in 1954 and a second phase was added in 1975. The mechanical, electrical, and plumbing systems are all original to the building. The outdated and antiquated systems will be replaced with modern, energy efficient systems to allow this facility to be viable for the next 20 years.

At \$106 per GSF, the cost for this renovation is significantly lower than the replacement cost, estimated to be \$331 per GSF.

This proposed repair and rehabilitation project has been approved by U. T. System staff and meets the criteria for inclusion in the CIP. Approval of design development plans and authorization of expenditure of funding will be presented to the President for approval at a later date. It has been determined that this project would best be managed by U. T. Health Science Center - Houston Facility Management personnel who have the experience and capability to manage all aspects of the work, especially as it requires extensive coordination with the building occupants.

4. U. T. Southwestern Medical Center: U. T. Southwestern Monty and Tex Moncrief Medical Center at Fort Worth - Amendment of the FY 2016-2021 Capital Improvement Program to include project; approval of total project cost; approval of design development; approval of institutional management; appropriation of funds and authorization of expenditure; and resolution regarding parity debt (Final Board approval)

RECOMMENDATION

The Chancellor concurs in the recommendation of the Deputy Chancellor, the Executive Vice Chancellor for Health Affairs, the Executive Vice Chancellor for Business Affairs, and President Podolsky that the U. T. System Board of Regents amend the FY 2016-2021 Capital Improvement Program (CIP) to include the U. T. Southwestern Monty and Tex Moncrief Medical Center at Fort Worth project at U. T. Southwestern Medical Center as follows:

Project No.: 303-1009
Institutionally Managed: Yes
Project Delivery Method: Construction Manager-at-Risk
Substantial Completion Date: November 2016

Total Project Cost:	<u>Source</u>	<u>Proposed</u>
	Revenue Financing System Bond Proceeds ¹	\$40,000,000
	Medical Services, Research and Development Plan/Professional Fees	\$36,948,185
		\$76,948,185

Funding Note: ¹ Revenue Financing System (RFS) to be repaid from Medical Services, Research and Development Plan/Professional (MSRDP) Fees

- Investment Metrics:**
- Increase annual outpatient clinic visits to 80,000 by 2021
 - Expand clinical enterprise to Fort Worth and surrounding areas
- a. approve a total project cost of \$76,948,185;
 - b. approve design development plans;
 - c. authorize U. T. Southwestern to manage the project budgets, appoint architects, approve facility programs, prepare final plans, and award contracts;
 - d. appropriate funds and authorize expenditure of \$40,000,000 from RFS Bond Proceeds and \$36,948,185 from MSRDP Fees; and
 - e. resolve in accordance with Section 5 of the Amended and Restated Master Resolution Establishing The University of Texas System Revenue Financing System that
 - parity debt shall be issued to pay the project's cost, including any costs prior to the issuance of such parity debt;

- sufficient funds will be available to meet the financial obligations of the U. T. System, including sufficient Pledged Revenues as defined in the Master Resolution to satisfy the Annual Debt Service Requirements of the Financing System, and to meet all financial obligations of the U. T. System Board of Regents relating to the Financing System; and
- U. T. Southwestern Medical Center, which is a "Member" as such term is used in the Master Resolution, possesses the financial capacity to satisfy its direct obligation as defined in the Master Resolution relating to the issuance by the U. T. System Board of Regents of tax-exempt parity debt in the aggregate amount of \$40,000,000.

BACKGROUND INFORMATION

Debt Service

The 40,000,000 in RFS debt will be repaid from MSRDP Fees. Annual debt services on the \$40,000,000 RFS debt is expected to be \$3.1 million. The institution's debt service coverage is expected to be at least 2.6 times and average 3.0 times over FY 2016-2021.

Previous Actions

On August 20, 2015, the Board approved the purchase of the land and partially completed building for this project and authorized naming of the facility. On September 21, 2015, Executive Vice Chancellor Greenberg approved this project for Definition Phase.

Project Description

The U. T. Southwestern Monty and Tex Moncrief Medical Center at Fort Worth will expand clinical services in Fort Worth beyond cancer-related treatments. The 105,000 gross square foot, three-story facility will have 10 clinics, laboratory services, and an imaging center. The clinic space will include exam and procedure rooms for multiple specialties, including Urology, Ophthalmology, Dermatology, Physical Medicine and Rehabilitation, Neurology, Upper Respiratory, and Musculoskeletal.

The clinical expansion will strengthen the institution's ability to serve residents of Fort Worth and surrounding areas, improving access to medical care, research, and educational opportunities. The expansion will also allow patients to create a primary care contact near their homes, while generating specialty and inpatient acute care referrals to the main campus in Dallas.

At the time of purchase, the building core and shell were 80% complete and the interior finish was 15% complete. Site improvements (e.g., parking lots, street improvements) had not begun. In September 2015, U. T. Southwestern received approval, as part of the Definition Phase, to spend \$5 million to complete the remaining 20% of the building core and shell, site work, clinical programming, and schematic design for the finish-out of the outpatient facility. The initial purchase cost of \$28.5 million and the subsequently approved \$5 million are included in the Total Project Cost of this project.

This proposed project has been approved by U. T. System staff and meets the criteria for inclusion in the CIP. It has been determined that this project would best be managed by U. T. Southwestern Medical Center Facility Management personnel who have the experience and capability to manage all aspects of the work.

Basis of Design

The planned building life expectancy includes the following elements:

Enclosure: 50 years

Building Systems: 30 years

Interior Construction: 30 years

The interior and exterior appearance and finish are consistent with the Moncrief Cancer Institute, which is located nearby and will give U. T. Southwestern Medical Center facilities a consistent look. The mechanical and electrical building systems are designed with sufficient flexibility and space for future capacity to allow for changes without significant disruption to ongoing activities.



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FOR
TECHNOLOGY TRANSFER AND RESEARCH COMMITTEE**

Committee Meeting: 2/10/2016

Board Meeting: 2/11/2016
Galveston, Texas

Wallace L. Hall, Jr., Chairman
Ernest Aliseda
Alex M. Cranberg
Brenda Pejovich
Sara Martinez Tucker

	Committee Meeting	Board Meeting	Page
Convene	<i>1:00 p.m.</i> <i>Chairman Hall</i>		
1. U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, assigned for Committee consideration	<i>1:00 p.m.</i> Discussion	Action	388
2. U. T. System: Discussion and appropriate action regarding an update to the U. T. Horizon Fund investment thesis	<i>1:02 p.m.</i> Action <i>Dr. Hurn</i> <i>Ms. Goonewardene</i>	Action	389
3. U. T. System: Report on progress of U. T. BRAIN, a virtual U. T. System Neuroscience and Neurotechnology Institute	<i>1:30 p.m.</i> Report/Discussion <i>Dr. Hurn</i> <i>Dr. Tom Jacobs,</i> <i>Associate Vice</i> <i>Chancellor for</i> <i>Federal Relations</i> <i>Dr. Consuelo</i> <i>Walss-Bass,</i> <i>U. T. Health</i> <i>Science Center -</i> <i>Houston</i> <i>Dr. Greg Dussor,</i> <i>U. T. Dallas</i>	Not on Agenda	405
Adjourn	<i>2:00 p.m.</i>		

1. **U. T. System Board of Regents: Discussion and appropriate action regarding Consent Agenda items, if any, assigned for Committee consideration**

RECOMMENDATION

No Consent Agenda items are assigned for review by this Committee. The Consent Agenda begins on [Page 426](#).

2. U. T. System: Discussion and appropriate action regarding an update to the U. T. Horizon Fund investment thesis

RECOMMENDATION

The Chancellor concurs in the recommendation of the Deputy Chancellor, the Executive Vice Chancellor for Business Affairs, the Vice Chancellor for Research and Innovation, and the Vice Chancellor and General Counsel that the U. T. System Board of Regents

- a. authorize the U. T. Horizon Fund to refine its investment thesis to include both investments (i) in companies utilizing U. T. System innovations, as has been a precondition to investment since the inception of the U. T. Horizon Fund, and (ii) in companies in which U. T. System holds an existing equity interest, but which may not necessarily be utilizing U. T. System innovations; and
- b. delegate to the Vice Chancellor and General Counsel, with no further delegation, the authority to execute all documents, instruments, and other agreements, and to take all further actions necessary or advisable to carry out the purpose and intent of the foregoing authorization concerning investments in companies in which U. T. System holds an existing equity interest, but which may not necessarily be utilizing U. T. System innovations.

Ms. Julie K. Goonewardene, Associate Vice Chancellor for Innovation and Strategic Investment and Managing Director of the U. T. Horizon Fund, will provide an update on the U. T. Horizon Fund, as well as present the proposed refined investment thesis using the PowerPoint presentation set forth on the following pages.

BACKGROUND INFORMATION

From an extensive analysis performed by the U. T. Horizon Fund team in response to questions from the Technology Transfer and Research Committee on August 19, 2015, it is requested that the U. T. System Board of Regents approve an update to the existing U. T. Horizon Fund investment thesis to best position the U. T. Horizon Fund to achieve its objectives.

The dual-purpose mission of the U. T. Horizon Fund is to: 1) help move novel technologies to the marketplace to impact the world, and 2) create a positive financial return. To better achieve its dual-purpose mission, the U. T. Horizon Fund needs to refine its investment thesis to include both investments in companies utilizing U. T. System innovations, as has been a precondition to investment since the inception of the U. T. Horizon Fund, and in companies in which U. T. System holds an existing equity interest, but which may not necessarily be utilizing U. T. System innovations.

State law and Regents' *Rules and Regulations*, Rule 90101, concerning Intellectual Property, provide existing authority and delegation to make investments in companies utilizing U. T. System innovations. The proposed action will provide delegated authority, as permitted to the U. T. System Board of Regents by State law, to invest in companies in which U. T. System holds an existing equity interest, but which may not necessarily be utilizing U. T. System innovations.

The U. T. Horizon Fund, a strategic investment fund for the U. T. System, was initially approved by the U. T. System Board of Regents on August 25, 2011, and was capitalized with \$10 million of Available University Funds (AUF) (Phase I). On February 14, 2013, the U. T. Horizon Fund was reauthorized with expanded funding from AUF (Phase II) to be disbursed in four annual installments of \$12.5 million each (including \$10 million for investments and \$2.5 million for associated services), subject to annual authorization by the Board of Regents upon receipt of a satisfactory report of activities undertaken as a result of the previous year's allocation. The total committed investment capital from both Phase I and Phase II is \$50 million, and the total disbursed investment capital of the U. T. Horizon Fund to date is \$30 million.

The U. T. Horizon Fund helps to create an environment that values innovation and entrepreneurship, which enables recruiting faculty and students. Additionally, the U. T. Horizon Fund utilizes existing U. T. System rights where possible, leverages the collective resources of private sector investors, enhances partnerships by attending and supporting entrepreneurial events, and strives to add value by connecting entrepreneurs with investors, subject-matter experts, advisors, and potential customers.

U. T. Horizon Fund

Ms. Julie Goonewardene

Associate Vice Chancellor for Innovation and Strategic Investment and
Managing Director of the U. T. Horizon Fund

U. T. System Board of Regents' Meeting
Technology Transfer and Research Committee
February 2016



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Investment Update

- New investment by 1Q16
 - Estimated \$1.1M capital investment
- Follow on investment (from 3Q15 – 1Q16)
 - Estimated \$1.7M capital investment
- Other portfolio updates
- Currently reviewing five companies



Mission

- To accelerate the success of U. T. System institution-based companies

Vision

- The U. T. Horizon Fund (UTHF) is a dual-purpose venture fund that strives to generate top quartile returns by investing in U. T. System institution-based companies, improving the human condition



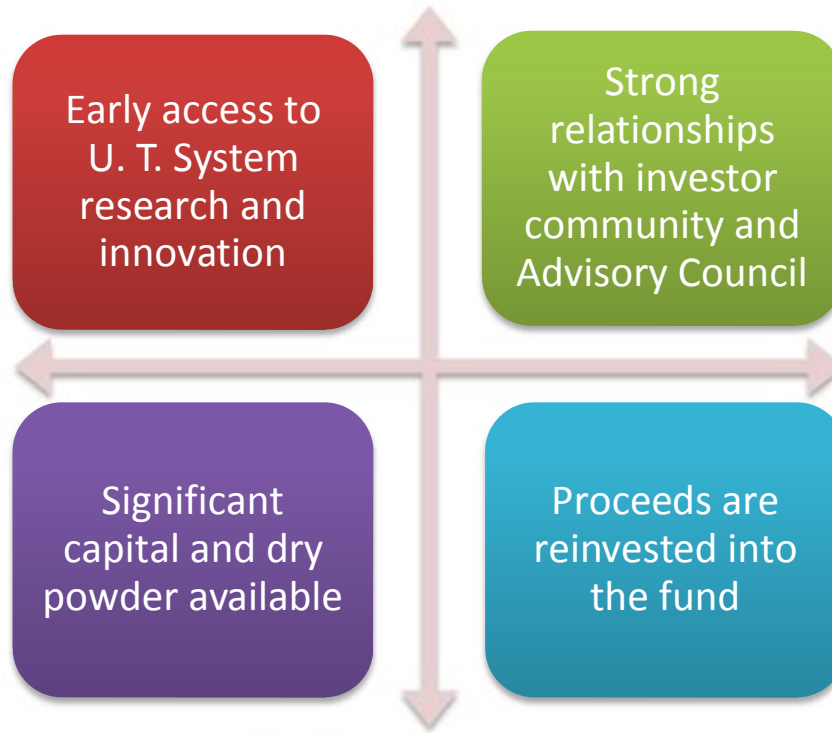
Investment Approach

- UTHF is a formative stage venture capital fund
- UTHF invests in companies that have U. T. System institution Intellectual Property or equity*
- UTHF is a collaborative co-investor and a committed long-term partner
- UTHF does not price or lead a round

** Subject to Regental approval in February 2016*



Competitive Advantage of UTHF



Business Development

Enhancing deal flow and building stronger relationships

Track U. T. System startup landscape that includes

- Campus visits
- Company calls
- Track potential pipeline companies

Effective investment screening process

- Business viability and market scope
- Strong syndicate
- Capital requirements and exit potential

Monitor portfolio performance

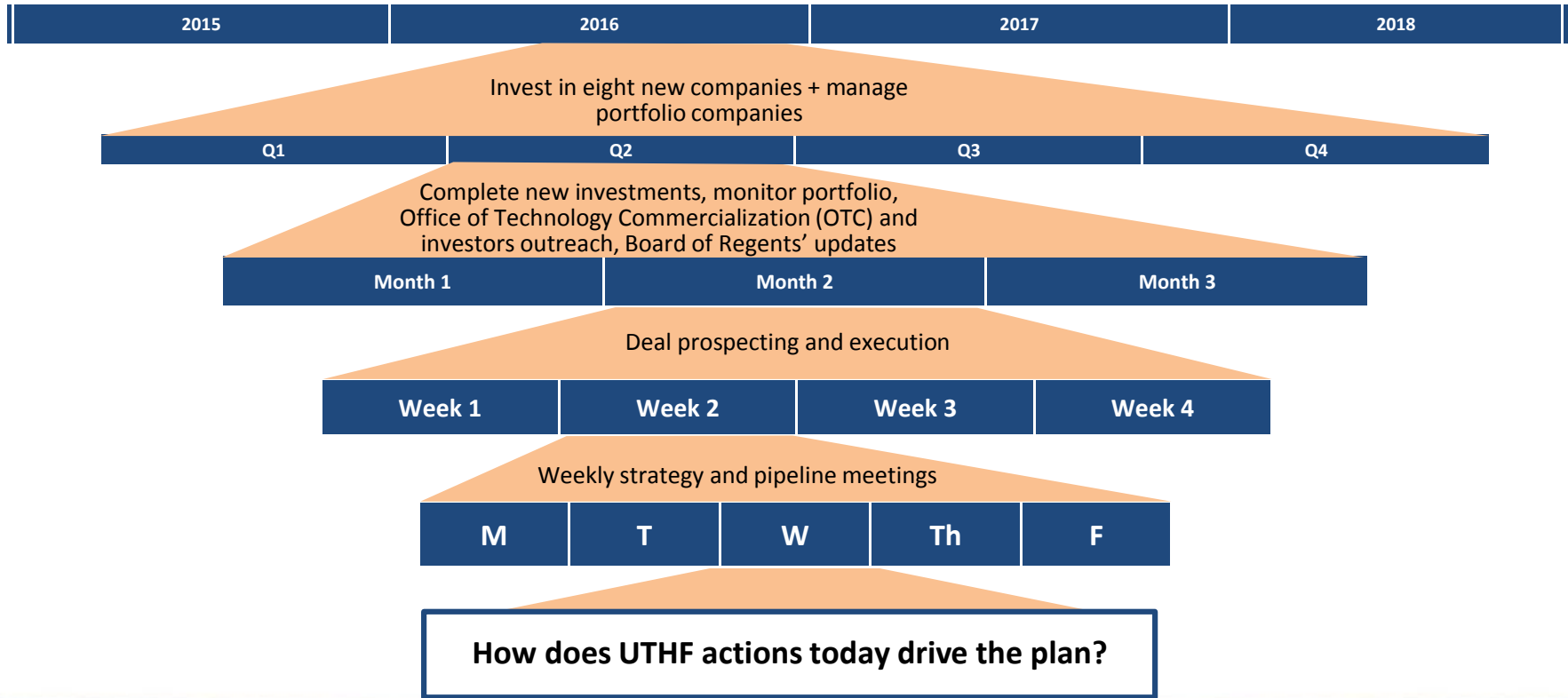
- Quarterly company calls + Board meetings
- Track company health, follow-on rounds, capital requirements, and valuation changes
- Provide advisory services

Building investor relationships

- Network with other investors, incubators, and accelerators
- Enhance feeder and syndicate network



Turning Strategy into Action



Strategic Initiatives

Topic	2015	2016											
	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Website													
Software acquisition + implementation													
Portfolio review													
Quarterly package													
OTC outreach													
Pipeline company outreach													
Connect with UTIMCO, accelerators, and incubators													
Business processes and transparency													
Predictive analytics approach													
Added services offered to the companies													
<i>Contracted a marketing advisor to work with certain portfolio companies</i>													



Fall 2015 Pipeline-Building Exercise

UTHF constantly scans the U. T. System universe for potential investment opportunities

Companies with U. T. System institution IP or equity

124

- Data driven by back-testing model
- Includes information from U. T. System institution OTC offices

UTHF screened companies

61

- UTHF created an in-house rating mechanism
- Focus on the A and B rated companies to start with
- Track these pipeline companies on quarterly basis

Companies contacted

20

- The UTHF reviewed the top 20 highest rated companies in 4Q15

Companies raising capital

4

- Four companies raising capital in 1Q16

Companies raising capital with strong syndicate

3

- Three companies have strong syndicate



Original Fund Design

- Invests in U. T. System-based companies where:
 - The company is utilizing a U. T. System institution innovation AND
 - U. T. System institution holds an equity interest in the company
 - Pre-emptive rights as an important consideration
- *A pre-emptive right* in this case is defined to be “the privilege of a stockholder to maintain a proportionate share of the ownership of a corporation by purchasing a proportionate share of any new stock issues”



Back-testing Model Results

- Returns are larger when investing in companies with no pre-emptive rights

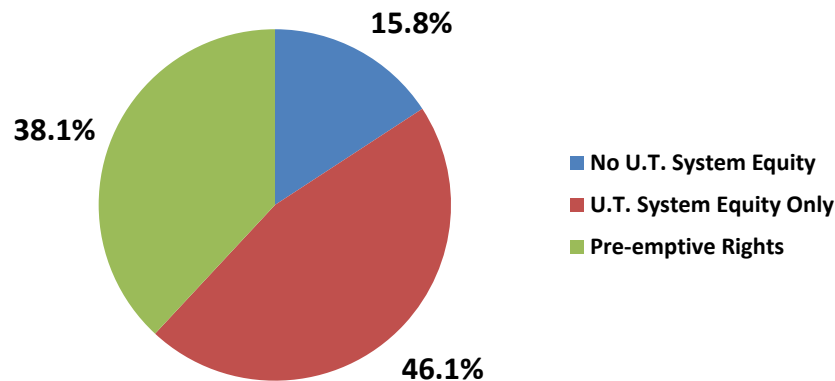
Performance Ratio	Scenario 1: UT Equity and IP	Scenario 2: Pre-emptive Rights
Distributions to paid-in capital (DPI)	1.19	0.90
Residual value to paid-in capital (RVPI)	0.62	0.64
Total value to paid-in capital (TVPI)	1.81	1.54
Time to return committed capital	Year 8	Year 9



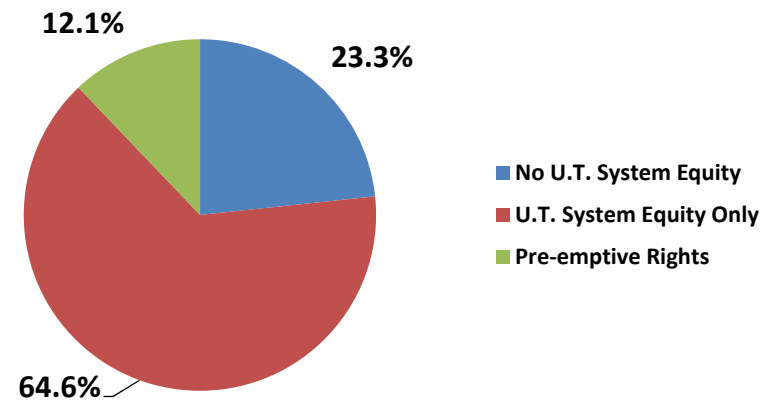
Learning Since Fund Inception

- For companies utilizing U. T. System innovations, investing only in pre-emptive rights deals excludes a substantial number of investment opportunities and the largest portion of returns

% of total capital raised

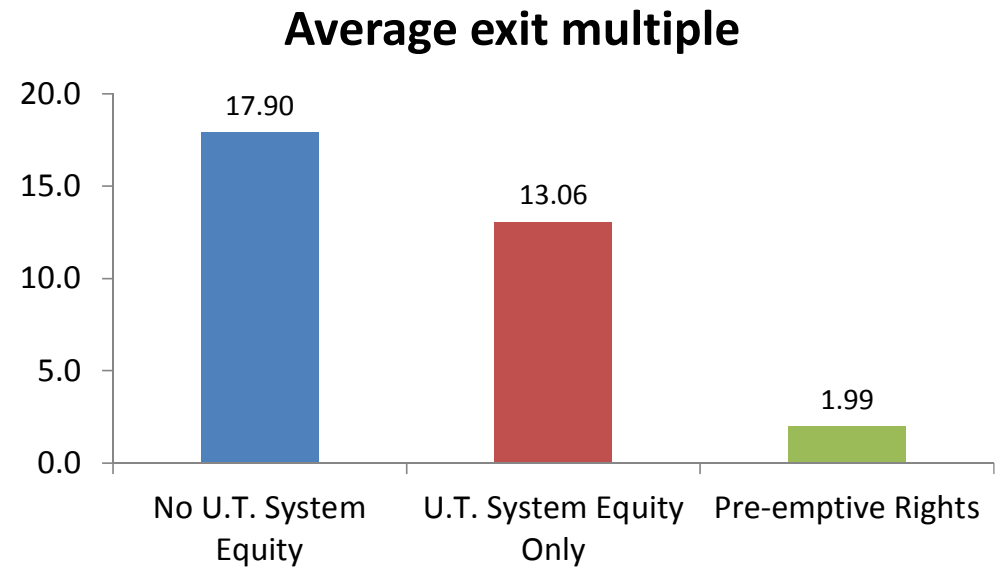


% of total capital raised



Learning Since Fund Inception (cont.)

- The exit multiple for an investment is the ratio of capital returned to capital invested
- At a company level, exit multiples are higher for non-pre-emptive rights-based investment opportunities



Discussion Regarding a Refined UTHF Thesis

- Refine UTHF thesis to better position for improved financial returns
- Invest in U. T. System-based companies where:
 - The company is utilizing U. T. System institution innovations OR
 - U. T. System institution holds an equity interest in the company
- Better positions UTHF for future strategic investments (i.e., cybersecurity, ed-tech)



3. **U. T. System: Report on progress of U. T. BRAIN, a virtual U. T. System Neuroscience and Neurotechnology Institute**

REPORT

Dr. Patricia Hurn, Vice Chancellor for Research and Innovation, and Dr. Tom Jacobs, Associate Vice Chancellor for Federal Relations, will report on the activities and progress of U. T. BRAIN, a virtual U. T. System Neuroscience and Neurotechnology Institute. The following U. T. System faculty scientists will present on research funded by the Institute.

- **Dr. Consuelo Walss-Bass**, Associate Professor, Department of Psychiatry and Behavioral Sciences, U. T. Health Science Center - Houston
- **Dr. Greg Dussor**, Associate Professor, School of Behavioral and Brain Sciences, U. T. Dallas

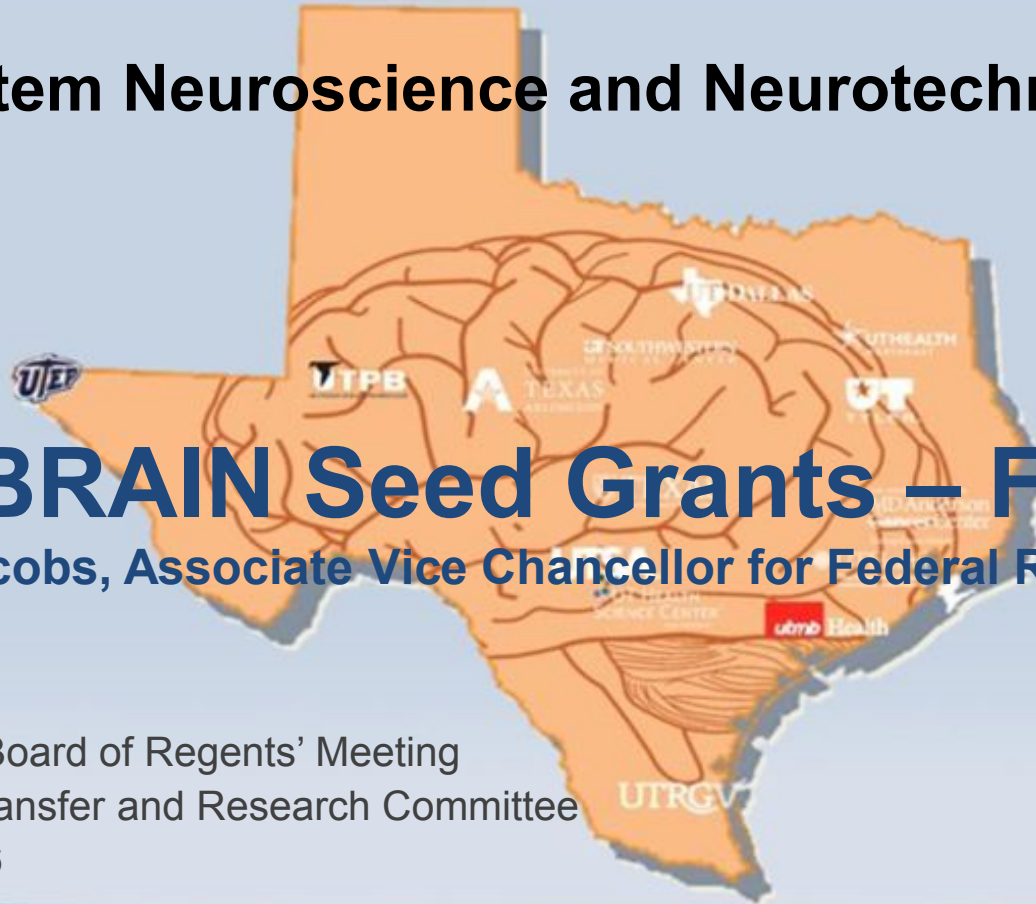
BACKGROUND INFORMATION

U. T. System institutions host an impressive variety of neuroscientists and the accompanying disciplines necessary to move neuroscience and neurotechnology into innovative waters, e.g., engineering, computer science, mathematics, material science, physics, and chemistry. To assist U. T. System scientists to compete for ongoing federal research funding and private-sector investments in neuroscience research, the U. T. System Board of Regents approved the creation of the Systemwide virtual U. T. System Neuroscience and Neurotechnology Institute on August 21, 2014. The purpose of this presentation is to report on the progress of the Institute to date.

The primary purpose of the Institute is to enable U. T. System researchers to build competitive collaborations. The main, but not exclusive, focus of the Institute is on neurotechnology development and creation of innovative tools and techniques that will transform research in the field. Areas of special interest include, but are not limited to, imaging, neurocomputational techniques, development of neuro-devices for research or treatment purposes, and molecular mapping.

One significant initiative of the Institute, in partnership with U. T. Austin, is to create multi-institutional, collaborative research projects that have a high likelihood of success scientifically, and for extramural funding. Collaborations among health, engineering, and life sciences experts have been particularly encouraged.

U. T. System Neuroscience and Neurotechnology Institute



U. T. BRAIN Seed Grants – FY 2015

Dr. Tom Jacobs, Associate Vice Chancellor for Federal Relations

U. T. System Board of Regents' Meeting
Technology Transfer and Research Committee
February 2016



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Neuroscience A National and Texas Research Priority

- Neurological/mental disorders cost the U.S. \$760 billion per year
- 5 million Americans living with Alzheimer's Disease
- \$226 billion estimated cost of care in 2015
- 340,000 Texans living with Alzheimer's Disease
- Estimated 17% increase by 2020
- 6th leading cause of death in Texas
- Cost of care for Texans is estimated at \$716 million



U. T. BRAIN Seed Grant - First Funding Round

- Call for proposals February 2015
- 158 proposals submitted, all U. T. System institutions
- 103 expert peer reviewers selected from outside Texas
- All applicants received feedback and review results
- Abstracts and reviewer list available at:
<https://www.utsystem.edu/sites/neuroscience>
- Award letters and funding administered in August 2015



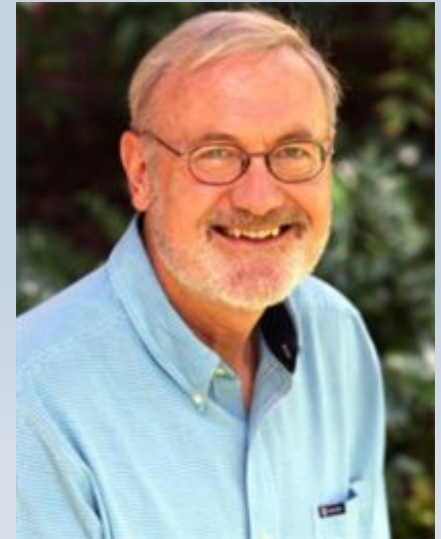
U. T. BRAIN Seed Grant - First Funding Round (cont.)

- Collaboration to create grant review and award infrastructure within the Department of Neuroscience, College of Natural Sciences at U. T. Austin
- Instrumental to this collaboration:

Dr. Daniel Johnston
Director, Center for Learning and Memory,
Karl Folkers Chair in Interdisciplinary Biomedical Research

Cynthia Thompson
Senior Grants and Contracts Specialist, Center for Learning and Memory

Kathleen Pantaloni
Assistant Director, Center for Learning and Memory



U. T. BRAIN - Peer Review Results

- Payline: average score = 2.67 (range 1 - 9)
- Top 45 of 158 applications awarded \$100K (\$4.5M total)
- Success rate - 28% (NIH success rate - 17%)
 - New collaborations - 100%
 - Trans-disciplinary collaborations - 96%
 - Trans-institutional collaborations - 44%
 - Early stage investigators - 48%



Examples of new collaborations seeding innovative neurotechnologies

- Optogenetics
 - Design a virus-based reporter of neural activity (*Zemelman/Drew)
 - Potential: uncover the cellular basis of behavior
- Circuitry
 - Identify neuronal specific viruses (*Roberts/Schoggins)
 - Potential: new tools to explore multiple circuits simultaneously
 - Develop DNA fluorescent tracers for imaging circuit rewiring (*Xu/Vitella)
 - Potential: visualize neuronal circuit connectivity and plasticity over time
- Material Science
 - Develop bio-compatible, highly integrated, multifunctional devices (*Luan/Xie)
 - Potential: enable long-term optical stimulation and electrical recording in a 3D array



U. T. BRAIN is already stimulating national interest and recognition

- Contact with >300 labs nationally during the review process
- Agencies following U. T. BRAIN progress
 - White House – Office of Science and Technology Policy
 - National Institute of Neurological Disease and Stroke/NIH
 - Society for Neuroscience, the largest scientific society for the field
- > 1,000 hits on the U. T. System Neuroscience website



The BRAIN Initiative® Partners*

Federal

NIH
NSF
DARPA
IARPA
FDA
WH-OSTP

Non-Federal

Foundations
Universities
Institutes
Industry

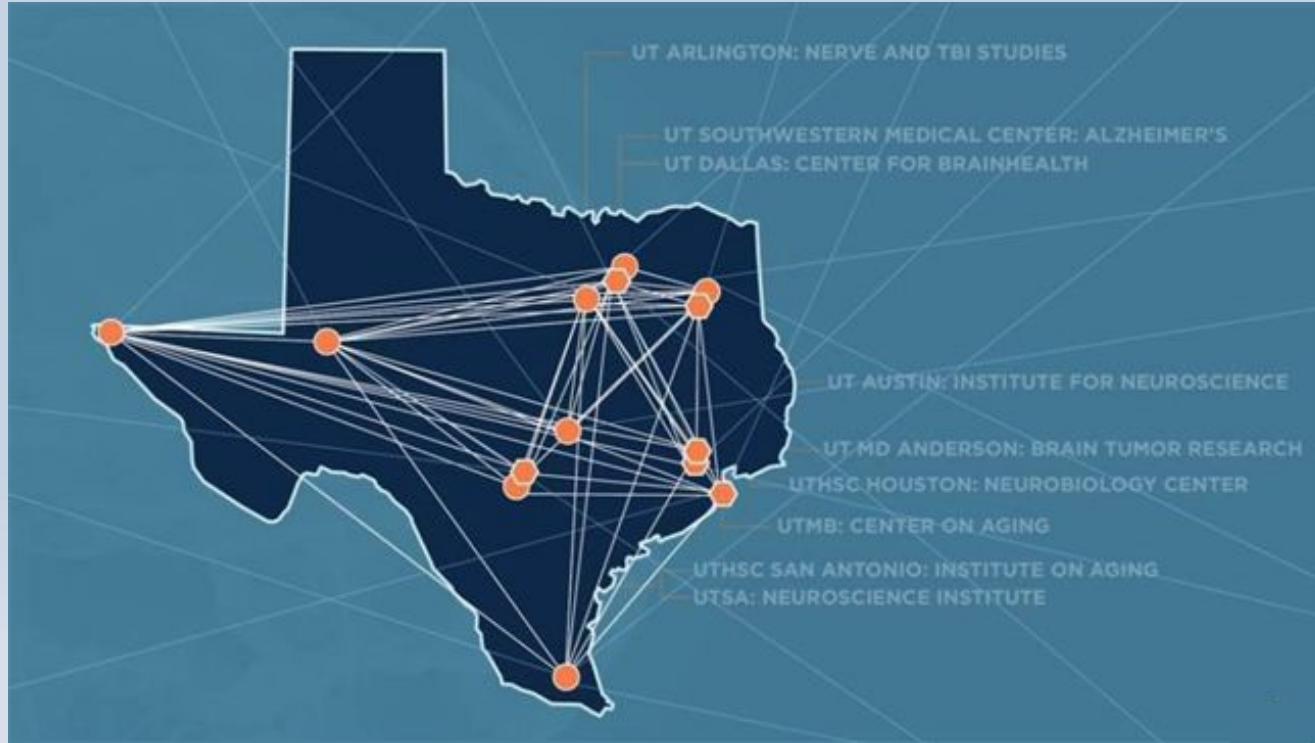
Boston University
Carnegie Mellon University
Pacific Northwest Neuroscience
University of California System
University of Pittsburgh
→ **The University of Texas System**
University of Utah

[*http://www.braininitiative.nih.gov/](http://www.braininitiative.nih.gov/)



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U. T. System → Texas → U.S. Neuroscience Network



U. T. BRAIN - Resources

- U. T. System Neuroscience Website: <https://www.utsystem.edu/sites/neuroscience>
 - Seed Grant Announcement
 - Peer Reviewer & Affiliation List
- U. T. System Neuroscience Blog: <https://www.utsystem.edu/sites/neuroscience/blog>
- Office of Federal Relations Twitter: #UTBRAIN
- U. T. BRAIN Contacts:
 - Tom Jacobs: tjacobs@utsystem.edu
 - Cindy Thompson: cynthia@austin.utexas.edu
 - Dan Johnston: djohnston@mail.clm.utexas.edu
 - Patricia Hurn: phurn@utsystem.edu
 - Dale Klein: dklein@utsystem.edu
 - William Shute: wshute@utsystem.edu



Generation of Human-Derived Neurons for the Study of Psychiatric Disorders

Consuelo Walss-Bass, Ph.D.

Associate Professor, Department of Psychiatry and Behavioral Sciences

U. T. Health Science Center - Houston

U. T. System Board of Regents' Meeting

Technology Transfer and Research Committee

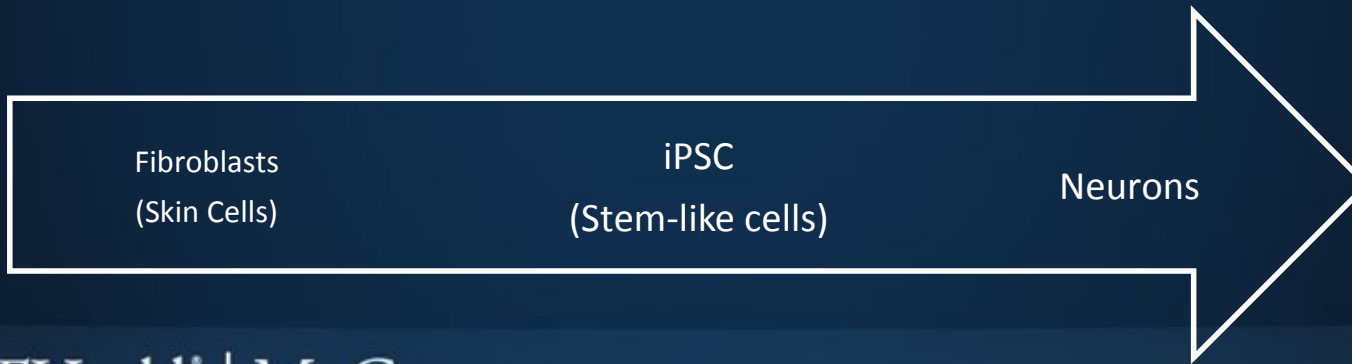
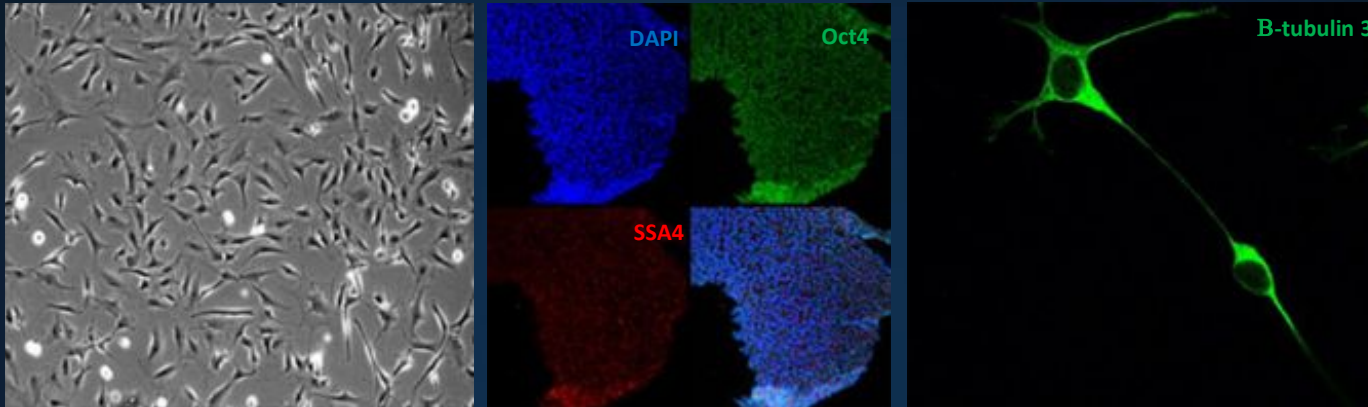
February 2016



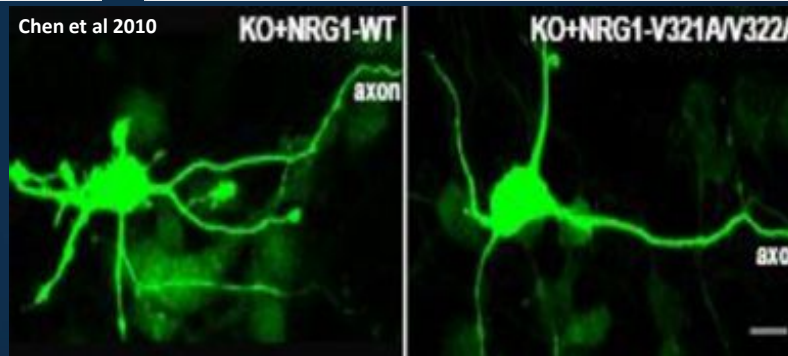
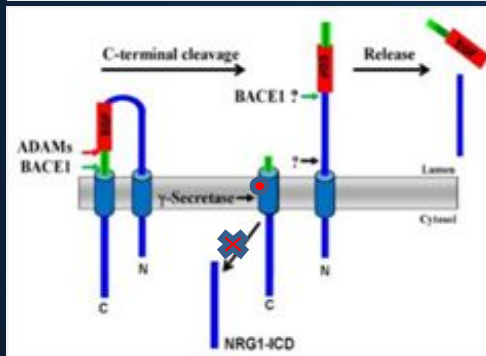
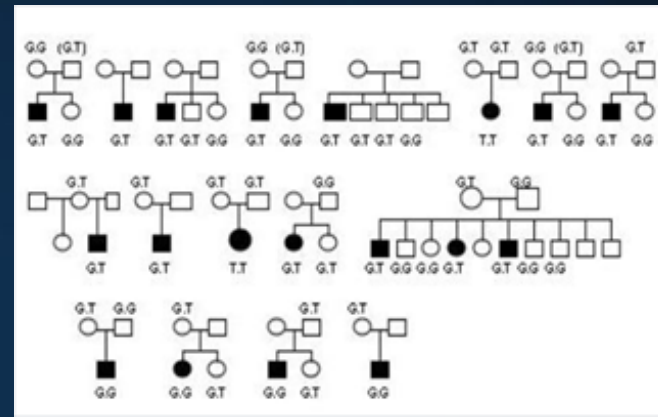
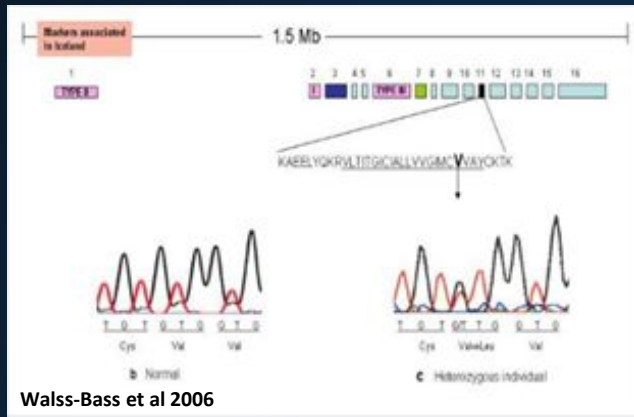
The Challenge

- Psychiatric disorders are currently diagnosed based on behavioral symptoms. No biological test available.
- Biological mechanisms are unknown.
- It is difficult to obtain brain tissue from living human patients.

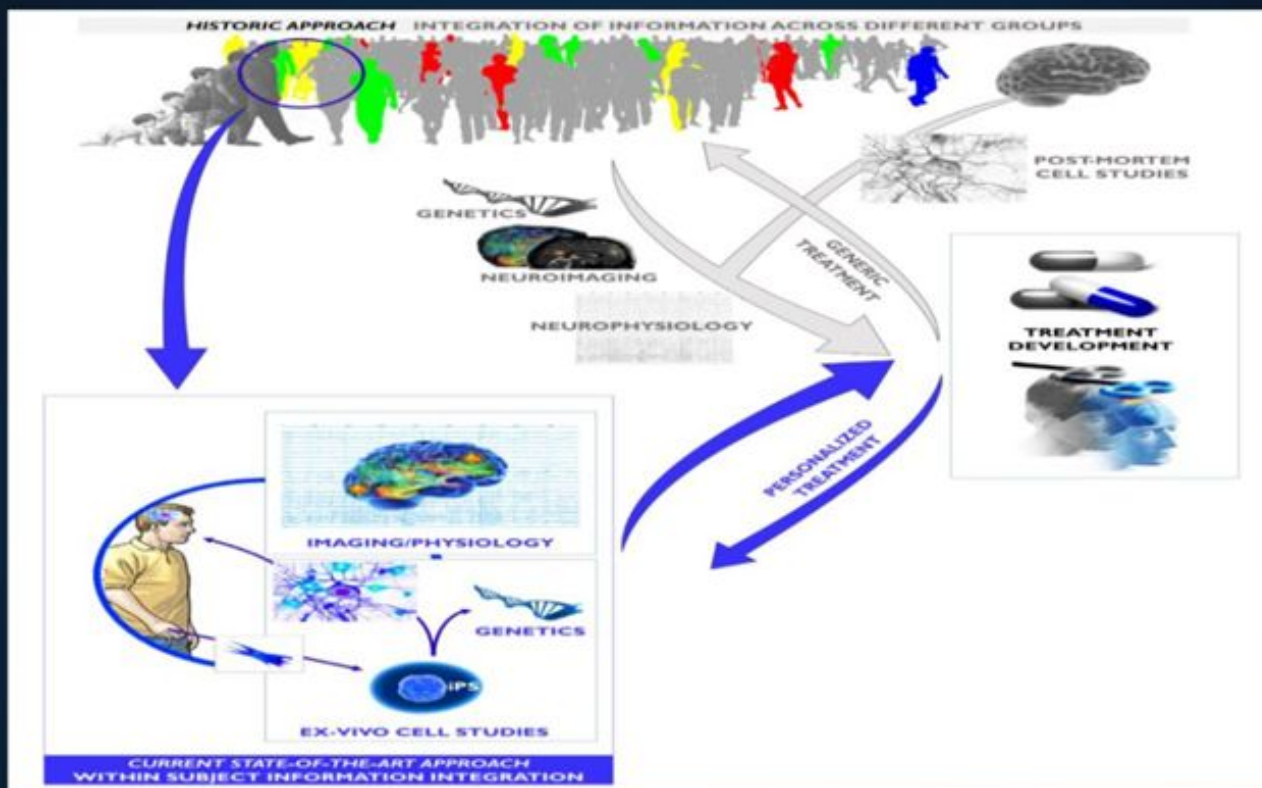
Generation of Neurons from Skin Cells



Neuregulin 1 Mutation in Schizophrenia Families from Costa Rica



Goal: Development of Personalized Treatments





Prolactin and sex dependence of migraine

Greg Dussor, Ph.D. (presenter)

Associate Professor, Neurobiology of Pain, Migraine

U. T. Dallas

Armen Akopian, Ph.D. (collaborator)

Associate Professor, Endodontics

U. T. Health Science Center - San Antonio

Technology Transfer and Research Committee

U. T. System Board of Regents' Meeting

February 2016

U. T. BRAIN Institute of Neuroscience Seed Funding Award

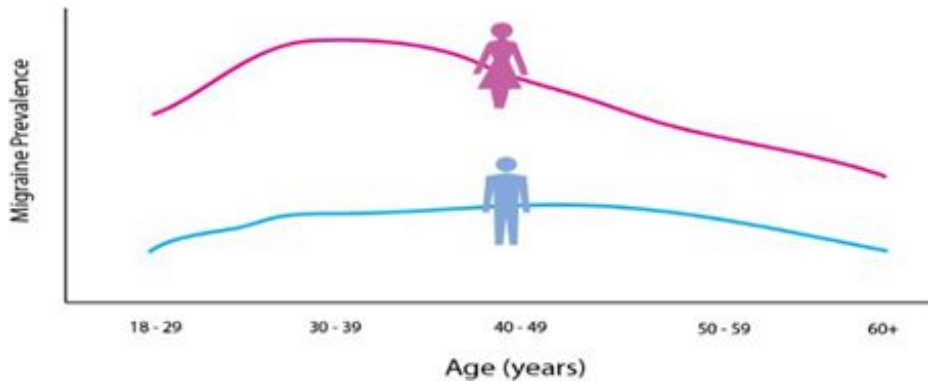
Years lived with disability (YLDs) for 1160 sequelae of 289 diseases and injuries 1990–2010: a systematic analysis for the Global Burden of Disease Study 2010

www.thelancet.com Vol 380 December 15/22/29, 2012

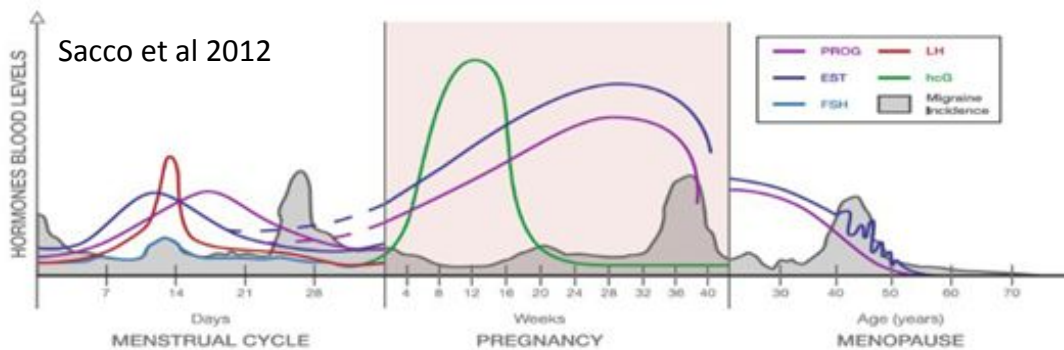
	Prevalence (both sexes)		Male prevalence		Female prevalence	
	Total (thousands)	Proportion of population (%)	Total (thousands)	Proportion of population (%)	Total (thousands)	Proportion of population (%)
Dental caries of permanent teeth	2 431 636	35.29%	1 194 051	34.37%	1 237 585	36.23%
Tension-type headache	1 431 067	20.77%	655 937	18.88%	775 131	22.69%
Migraine	1 012 944	14.70%	371 072	10.68%	641 873	18.79%
Fungal skin diseases	985 457	14.30%	516 167	14.86%	469 291	13.74%
Other skin and subcutaneous disease:	2010				386 468	11.32%
Chronic periodontitis	Disorder	Mean rank (95% UI)	% change (95% UI)		364 780	10.68%
Mild hearing loss with perinatal onset					338 543	9.91%
Acne vulgaris	1 Low back pain	1.1 (1 to 2)	43 (34 to 53)		335 140	9.81%
Low back pain	2 Major depressive disorder	1.9 (1 to 3)	37 (25 to 50)		297 252	8.70%
Dental caries of baby teeth	3 Iron-deficiency anaemia	3.3 (2 to 6)	-1 (-3 to 2)		269 421	7.89%
	4 Neck pain	4.3 (3 to 7)	41 (28 to 55)			
	5 COPD	5.8 (3 to 10)	46 (32 to 62)			
	6 Other musculoskeletal disorders	5.9 (4 to 8)	45 (38 to 51)			
	7 Anxiety disorders	6.4 (4 to 9)	37 (25 to 50)			
	8 Migraine	8.9 (6 to 15)	40 (31 to 51)			
	9 Diabetes	9.1 (6 to 13)	68 (56 to 81)			
	10 Falls	10.1 (7 to 14)	46 (30 to 64)			

Migraine preferentially affects women

Migraine Incidence: Age and Gender



- Migraine is three times more common in women than men
- Migraine prevalence in women increases after puberty and decreases after menopause



Incidence of migraine is dependent on:

- menstrual cycle
- pregnancy
- menopause

There are likely different mechanisms contributing to migraines between men and women, which demonstrates a need for sex-specific migraine therapeutics

Prolactin contributes to migraine in humans

J Headache Pain (2008) 9:103–107
DOI 10.1007/s10194-008-0016-z

ORIGINAL

Relationship between high prolactine levels and migraine attacks in patients with microprolactinoma

D. Bosco · A. Belfiore · A. Fava · M. De Rose · M. Plastino · C. Ceccotti · P. Mungari · R. Iannacchero · A. Lavano

J Headache Pain (2006) 7:83–89
DOI 10.1007/s10194-006-0272-8

ORIGINAL

Cinzia Cavestro
Annalisa Rosatello
Maria Pia Marino
Gianmatteo Micca
Giovanni Asteggiano

High prolactin levels as a worsening factor for migraine

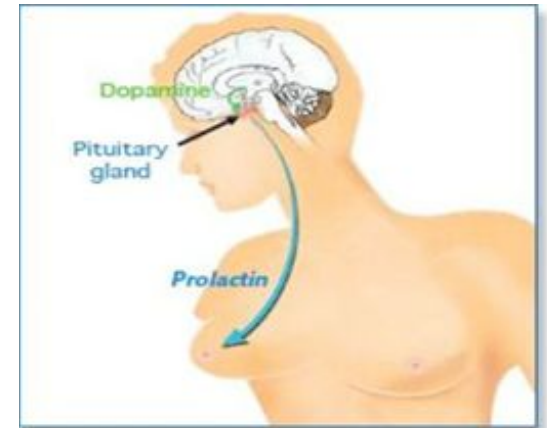
Original Article

Cephalalgia International Headache Society

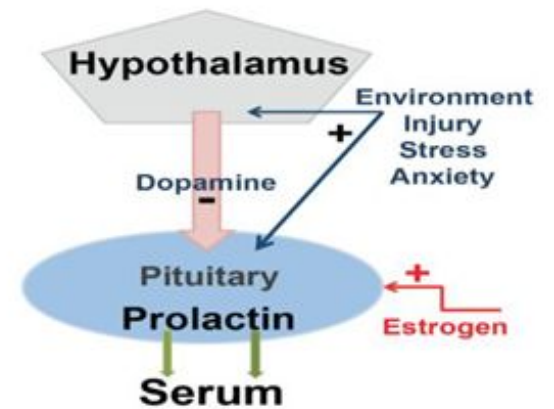
Prolactinoma-associated headache and dopamine agonist treatment

Mia-Maiken Kallestrup¹, Helge Kasch², Toke Østerby¹, Edith Nielsen³, Troels S Jensen² and Jens OL Jørgensen¹

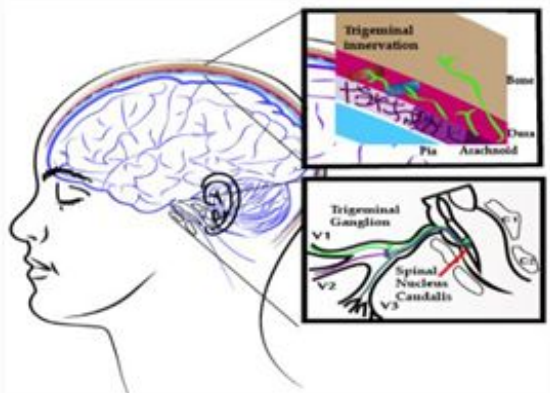
Cephalalgia
2014, Vol. 34(7) 493–502
© International Headache Society 2013
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sagepub.co.uk/journalsPermissions.nav
DOI: 10.1177/0333102413515343
cep.sagepub.com
SAGE



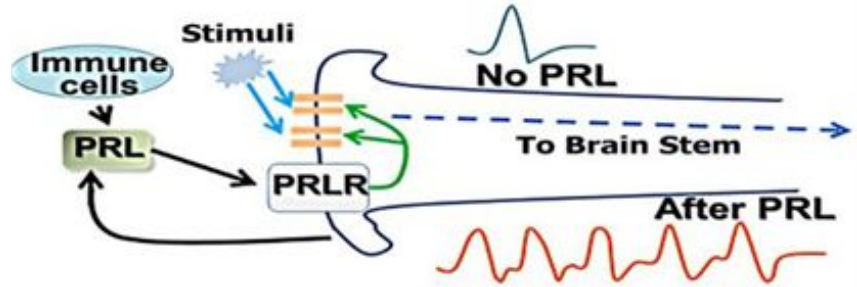
Neurosurgery.ucla.edu



The headache phase of migraine is due to pain signaling from the meninges: effects of prolactin on these pain-sensing neurons are completely unknown



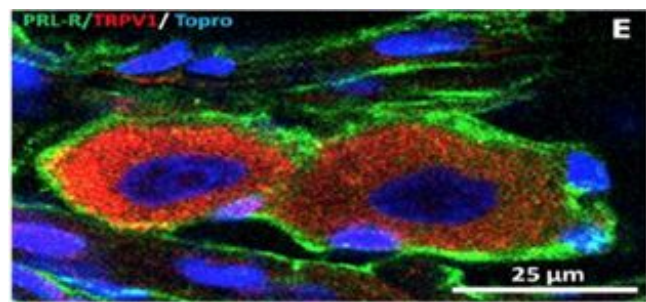
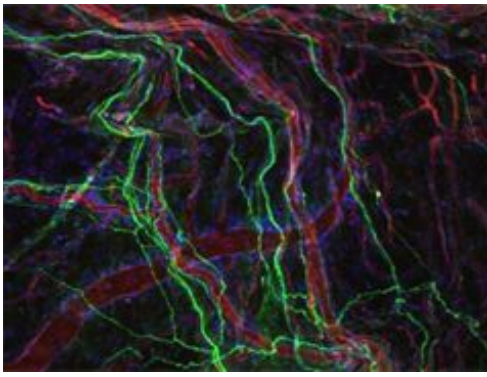
Hypothesis: prolactin sensitizes pain signaling from the meninges in females but not males



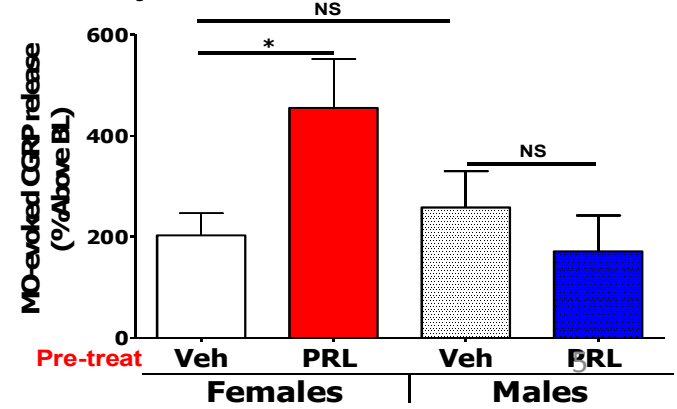
Agenda Book - 425

Experiments:

Is prolactin receptor differentially expressed in females?



Does prolactin increase neuronal activity in females but not males?





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Galveston, Texas

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AUDIT, COMPLIANCE, AND MANAGEMENT REVIEW COMMITTEE

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FACILITIES PLANNING AND CONSTRUCTION COMMITTEE

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TECHNOLOGY TRANSFER AND RESEARCH COMMITTEE

No items for Consent Agenda

MEETING OF THE BOARD

1. Minutes - U. T. System Board of Regents: Approval of Minutes of the regular meeting held on November 4-5, 2015; and the special called meetings held on October 30, 2015; December 18, 2015; January 21, 2016; and January 25, 2016
2. Employment Agreement - U. T. System: Appointment of Amy Shaw Thomas, J.D., as Vice Chancellor for Academic and Health Affairs at The University of Texas System

The letter agreement summarized below has been approved by the Chancellor and is recommended for approval by the U. T. System Board of Regents.

Item:	Vice Chancellor for Academic and Health Affairs
Funds:	\$400,000 annually
Period:	Beginning December 1, 2015
Description:	Agreement for employment of Amy Shaw Thomas, J.D., as Vice Chancellor for Academic and Health Affairs. The Vice Chancellor for Academic and Health Affairs has a shared reporting relationship to the Executive Vice Chancellor for Health Affairs and the Executive Vice Chancellor for Academic Affairs and will hold office without fixed term, subject to the pleasure of the Chancellor. The agreement is set forth on the following pages.



THE UNIVERSITY of TEXAS SYSTEM
FOURTEEN INSTITUTIONS. UNLIMITED POSSIBILITIES.

Office of the Chancellor
601 Colorado Street
Austin, Texas 78701-2904
Phone: 512-499-4201
WWW.UTSYSTEM.EDU

Personal and Confidential

December 1, 2015

Ms. Amy Shaw Thomas



Dear Amy:

I am pleased to offer you the position of Vice Chancellor for Academic and Health Affairs at The University of Texas System, effective December 1, 2015 and contingent upon a clear background check. Your annual salary rate will be \$400,000. In your position as the Vice Chancellor, you will have a shared reporting relationship to the Executive Vice Chancellor for Health Affairs and the Executive Vice Chancellor for Academic Affairs. You shall hold office without fixed term, subject to the pleasure of the Chancellor.

In addition to the annual salary, all other State-paid fringe benefits required to be provided to higher education employees by State law, and for which you are eligible, are included. Among these benefits are State-paid OASI, longevity pay, workers' compensation, liability insurance coverage, retirement plan, insurance premium sharing, and leave entitlement.

Additional elements of your compensation package are:

- (a) You are eligible to participate in the Board of Regents' "Incentive Plan for The University of Texas System Presidents and System Administration Executive Officers" subject to the requirements and terms specified therein. The compensation earned from this incentive plan will vary depending on you attainment of certain specific performance goals.
- (b) The cost of club membership(s) approved by the Chancellor will be paid, including initial fees for joining the club and all properly documented business-related expenses. All personal expenses, including the portion of dues related to personal use, is calculated based on the personal expenses for that month as a percent of the total expenses. That percentage is applied to the dues owed to determine the personal amount.

Amy, I look forward to your leadership in bridging the Academic and Health Affairs' efforts as we progress in our expanded collaborations across the state of Texas and the nation.

Ms. Amy Shaw Thomas
December 1, 2015
Page 2

To indicate your acceptance of these terms, please sign and date this letter and return a copy to my office. Our office will coordinate with you on a public announcement upon receiving your signed acceptance. I look forward to working together with you to facilitate the success of the Framework, emphasizing transparency and accountability in all that we and the campuses achieve.

Sincerely,



William H. McRaven
Chancellor

WHM/jbp

cc: Raymond S. Greenberg, M.D., Ph.D.
Dr. Steven Leslie
Mr. Randy Wallace
Office of Employee Services



Signature of Acceptance



Date

AUDIT, COMPLIANCE, AND MANAGEMENT REVIEW COMMITTEE

No items for Consent Agenda

FINANCE AND PLANNING COMMITTEE

3. Contract (funds going out) - U. T. System: Technology Recruiting Solutions, Inc. to provide recruitment services

Agency: Technology Recruiting Solutions, Inc.

Funds: Anticipated total cost of services expected to exceed \$1,000,000

Source of Funds: Available University Funds

Period: July 20, 2015 through July 19, 2018

Description: To provide recruitment of executive level, information technology professionals, engineers, scientists, legal professionals, and data analysts identified and requested by U. T. System Administration and U. T. System institutions on an as needed basis. This contract was competitively bid.

4. Contract (funds going out) - U. T. System: Piper Morgan Personnel to provide recruitment services

Agency: Piper Morgan Personnel

Funds: Anticipated total cost of services expected to exceed \$1,000,000

Source of Funds: Available University Funds

Period: July 20, 2015 through July 19, 2018

Description: To provide recruitment of executive level, information technology professionals, engineers, scientists, legal professionals, and data analysts identified and requested by U. T. System Administration and U. T. System institutions on an as needed basis. This contract was competitively bid.

5. Contract (funds going out) - U. T. System: ARC Staffing to provide recruitment services

Agency: ARC Staffing

Funds: Anticipated total cost of services expected to exceed \$1,000,000

Source of Funds: Available University Funds

Period: July 20, 2015 through July 19, 2018

Description: To provide recruitment of executive level, information technology professionals, engineers, scientists, legal professionals, and data analysts identified and requested by U. T. System Administration and U. T. System institutions on an as needed basis. This contract was competitively bid.

6. Contract (funds going out) - U. T. System: Pedigo Staffing Services to provide recruitment services

Agency: Pedigo Staffing Services

Funds: Anticipated total cost of services expected to exceed \$1,000,000

Source of Funds: Available University Funds

Period: July 20, 2015 through July 19, 2018

Description: To provide recruitment of executive level, information technology professionals, engineers, scientists, legal professionals, and data analysts identified and requested by U. T. System Administration and U. T. System institutions on an as needed basis. This contract was competitively bid.

7. Request for Budget Change - U. T. System: Transfer \$5,000,000 from Institute for Transformational Learning reserves cost center to Institute for Transformational Learning operating cost center for operational expenses (RBC No. 7331)

8. Other Matters - U. T. System: Approval of Newly Commissioned Peace Officers

In accordance with Section 51.203 of the *Texas Education Code*, the Board is asked to approve the Commissioning of the following Peace Officers. The Officers have completed training at the U. T. System Police Training Academy and passed the State of Texas Police Officer Licensing Examination.

Effective date: November 20, 2015

<u>Name</u>	<u>Institution</u>
Marisa R. Bogart	U. T. Austin
Gregory D. DeStasi	U. T. Austin
Zachary M. Lewis-Hill	U. T. Austin
Michael S. Olfers	U. T. Austin
Edgar J. Rodriguez	U. T. Austin
Ryan J. Rodriguez	U. T. Austin
John J. Theis	U. T. Austin
Mark Tiapkov	U. T. Austin
Kurt E. Weichold	U. T. Austin
Alexandra J. Sexton	U. T. Permian Basin
Matthew A. Bonner	U. T. Medical Branch - Galveston
Lester I. Moore	U. T. Medical Branch - Galveston

9. Real Estate Report - U. T. System: Summary Report of Separately Invested Assets Managed by U. T. System

**THE UNIVERSITY OF TEXAS SYSTEM
SEPARATELY INVESTED ASSETS
Managed by U. T. System
Summary Report at November 30, 2015**

	FUND TYPE							
	Current Purpose Restricted		Endowment and Similar Funds		Annuity and Life Income Funds		TOTAL	
	Book	Market	Book	Market	Book	Market	Book	Market
Land and Buildings:								
Ending Value 08/31/2015	\$ 1,199,152	\$ 18,048,924	\$ 97,681,261	\$ 275,504,874	\$ 789,428	\$ 1,649,089	\$ 99,669,841	\$ 295,202,887
Increase or Decrease	-	-	(200,997)	(5,239,473)	-	-	(200,997)	(5,239,473)
Ending Value 11/30/2015	<u>\$ 1,199,152</u>	<u>\$ 18,048,924</u>	<u>\$ 97,480,264</u>	<u>\$ 270,265,401</u>	<u>\$ 789,428</u>	<u>\$ 1,649,089</u>	<u>\$ 99,468,844</u>	<u>\$ 289,963,414</u>
Other Real Estate:								
Ending Value 08/31/2015	\$ 1,005	\$ 1,005	\$ 8	\$ 8	\$ -	\$ -	\$ 1,013	\$ 1,013
Increase or Decrease	-	-	-	-	-	-	-	-
Ending Value 11/30/2015	<u>\$ 1,005</u>	<u>\$ 1,005</u>	<u>\$ 8</u>	<u>\$ 8</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 1,013</u>	<u>\$ 1,013</u>

Report prepared in accordance with Sec. 51.0032 of the *Texas Education Code*.
Details of individual assets by account furnished on request.

Note: Surface estates are managed by the U. T. System Real Estate Office. Mineral estates are managed by U. T. System University Lands. The royalty interests received from the Estate of John A. Jackson for the John A. and Katherine G. Jackson Endowed Fund in Geosciences are managed by the U. T. Austin Geology Foundation, with the assistance of the Bureau of Economic Geology.

10. Request for Budget Change - U. T. Arlington: Transfer \$4,019,388 from Texas Department of Transportation (TxDOT) and Texas Commission on Environmental Quality (TCEQ) contract awards account to TxDOT and TCEQ maintenance and operations account as an increase to the Department of Enterprise Development's operating budget for Fiscal Year 2016 (RBC No. 7160) -- amendment to the 2015-2016 budget
11. Request for Budget Change - U. T. Austin: Transfer \$2,000,000 from VPBA-UBC Commitments - Auxiliary Funds, Recreational Sports Whitaker Fields account to Recreational Sports Reserve for Repair and Replacement account for renovation of Whitaker Fields (RBC No. 7410) -- amendment to the 2014-2015 budget

12. Request for Budget Change - U. T. Austin: Transfer \$12,310,120 from Housing and Food Services-Division Office Expenses, Facilities, and University Apartments accounts to Housing and Food Services-Housing and Food General Repair/Replace Reserve account to create a reserve from Housing and Food operating income for repair and replacement (RBC No. 7411) -- amendment to the 2014-2015 budget

The following Request for Budget Change has been administratively approved by the Executive Vice Chancellor for Academic Affairs and is recommended for approval by the U. T. System Board of Regents:

Description	\$ Amount	RBC #
Housing and Food Services		
Amount of Transfer:	12,310,120	7411
From: Housing and Food Services, Division Office Expenses	11,609,702	
Housing and Food Services, Facilities	67,288	
Housing and Food Services, University Apartments	633,130	
To: Housing and Food Services, Housing and Food General Repair/ Replace Reserve	12,310,120	

13. Request for Budget Change - U. T. Austin: Transfer \$2,962,031 from Utility-Utility Plant, Operating Income account to Utility-Utility Master Plan, All Expenses and Utility-Overhaul Parts for Turbines, All Expenses accounts for creating a utility master plan for Main Campus (RBC No. 7420) -- amendment to the 2014-2015 budget

The following Request for Budget Change has been administratively approved by the Executive Vice Chancellor for Academic Affairs and is recommended for approval by the U. T. System Board of Regents:

Description	\$ Amount	RBC #
Utility-Utility Plant		
Amount of Transfer:	2,962,031	7420
From: Utility-Utility Plant	2,962,031	
To: Utility-Utility Master Plan, All Expenses	1,043,000	
Utility-Overhaul Parts for Turbines, All Expenses	1,919,031	

- 14. Request for Budget Change - U. T. Austin: Transfer \$6,000,000 from VPBA-UBC Commitments - Designated Funds, R&R account to PMCS-Repair and Renovation Control, Allocated for Budget for Fiscal Year 2015-2016 budget allocations account for repair and renovation (RBC No. 7363) -- amendment to the 2015-2016 budget

- 15. Request for Budget Change - U. T. San Antonio: Transfer \$1,000,000 from Student Affairs Reserve, Student Services Fee, and University Center Reserve accounts to UCII Window System Replacement account to provide funding for new capital project, University Center II Window System Replacement project (RBC No. 7482) -- amendment to the 2015-2016 budget

The following Request for Budget Change has been administratively approved by the Executive Vice Chancellor for Academic Affairs and is recommended for approval by the U. T. System Board of Regents:

Description	\$ Amount	RBC #
University Center II Window System Replacement capital project		
Amount of Transfer:		7482
From: Student Affairs Reserves	\$240,000	
Student Services Fee	\$260,000	
University Center Reserve	\$500,000	
To: UCII Window System Replacement	\$1,000,000	

- 16. Request for Budget Change - U. T. San Antonio: Transfer \$5,000,000 from Campus Reserves account to Science and Engineering Building capital project account to provide funding for capital project, Science and Engineering Building (RBC No. 7170) -- amendment to the 2015-2016 budget

- 17. Request for Budget Change - U. T. San Antonio: Transfer \$1,750,000 from University Center Fee account to UCII Common Lounges Update account to provide funding for new capital project (RBC No. 7266) -- amendment to the 2015-2016 budget

- 18. Request for Budget Change - U. T. San Antonio: Transfer \$3,341,184 from Campus Reserves account to OIT Core Network Upgrade account to provide funding for capital project, Office of Information Technology Core Network Upgrade (RBC No. 7354) -- amendment to the 2015-2016 budget

19. Request for Budget Change - U. T. San Antonio: Transfer \$1,495,622 from Food Service Retail Operations account to JPL Remodel Food Court capital project account to provide funding for capital project, John Peace Library Remodel Food Court (RBC No. 7422) -- amendment to the 2015-2016 budget

20. Request for Budget Change - U. T. Tyler: Transfer \$5,400,000 from Designated Tuition account to Campus Enhancement Projects account as contingency for possible future purchase of two tracts of land (RBC No. 7102) -- amendment to the 2015-2016 budget

21. Contract (funds going out) - U. T. M. D. Anderson Cancer Center: Dixon Hughes Goodman LLP to provide technical and project management support services for various projects to enhance the functionality and end user experience with the PeopleSoft and Hyperion installations

Agency: Dixon Hughes Goodman LLP

Funds: The total cost of services under this agreement, including all renewals, will not exceed \$7,000,000.

Source of Funds: Hospital Patient Income

Period: The term of this agreement will be for a period of 36 months, commencing on February 8, 2016, and continuing through February 7, 2019. The agreement includes the option for two 12-month renewals.

Description: Dixon Hughes Goodman LLP has expertise with Oracle PeopleSoft and Hyperion Enterprise Performance Management and will provide technical and project management support services for initiatives U. T. M. D. Anderson Cancer Center is launching to enhance the functionality and end user experience with these systems. This contract was competitively bid.

ACADEMIC AFFAIRS COMMITTEE

22. Other Matters - U. T. System Academic Institutions: Approval of Sexual Harassment and Sexual Misconduct Policies

The following sexual harassment and sexual misconduct policies for the U. T. System academic institutions have been reviewed by the Office of Academic Affairs and the Office of General Counsel and found to be in compliance with applicable laws and regulations. The policies, on the following pages, are being submitted for Board approval as required by federal law as referenced in Regents' *Rules and Regulations*, Rule 30105. Approval by the Board is recommended by the Chancellor, the Deputy Chancellor, the Executive Vice Chancellor for Academic Affairs, and the Vice Chancellor and General Counsel.

Academic Institutions

Sexual Harassment and Sexual Misconduct Policies

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Sexual Harassment and Sexual Misconduct Policy

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I. Title

Sexual Harassment/Sexual Misconduct Policy

II. Policy

Sec. 1 General Policy Statement.

1.1 The University of Texas at Arlington ("University") is committed to maintaining a learning and working environment that is free from discrimination based on sex in accordance with Title IX of the Higher Education Amendments of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act). Sexual misconduct is a form of sex discrimination and will not be tolerated. As stated in the definition, sexual misconduct includes sexual harassment, sexual violence, sexual assault, stalking, domestic violence and/or dating violence. Individuals who engage in sexual misconduct and other inappropriate sexual conduct will be subject to disciplinary action.

1.2 The University will take prompt disciplinary action against any individuals or organizations within its control who violate this Policy. The University encourages any student, faculty, staff or visitor to promptly report violations of this Policy to an individual identified in Section 3.2.

Sec. 2 Applicability. This Policy applies to all University administrators, faculty, staff, students, and third parties within the University's control, including visitors and applicants for employment. It applies to conduct regardless of where it occurs, including off University property, if it potentially affects the complainant's education or employment with the University. It also applies regardless of the

gender, gender identity or sexual orientation of the complainant or the respondent. In addition, it applies whether the complaint was made by or against a third party, and whether the complaint was made verbally or in writing.

Sec. 3 Filing a Complaint and Reporting Violations.

3.1 All Members of the University Community, Third Party and Anonymous Complaints. All administrators, faculty, staff, students, and third parties are strongly encouraged to immediately report any incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct to the Title IX Coordinator or Deputy Coordinators.

- a. Anonymity. Individuals wishing to remain anonymous can file a complaint in any manner, including by telephone or written communication with the Title IX Coordinator or a Deputy Coordinator; however, electing to remain anonymous may greatly limit the University's ability to stop the harassment, collect evidence, or take effective action against individuals or organizations accused of violating the Policy.
- b. Confidentiality. The University has an obligation to maintain an environment free of sex discrimination, thus many University employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in strict confidence may use the resources outlined in Section 3.5.
- c. Timeliness of Complaint. Complaints should be reported as soon as possible after the complainant becomes aware of the inappropriate conduct. Delays in reporting can greatly limit the University's ability to stop the harassment, collect evidence, and/or take effective action against individuals or organizations accused of violating the Policy.

3.2 Responsible Employees. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees. A Responsible Employee is a University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.5. Responsible Employees can find contact information for the Title IX Coordinator and Deputy Coordinators at the following website <http://www.uta.edu/titleix/>.

3.3 Reporting to Law Enforcement. Complaints of sexual misconduct may also be made to The University of Texas at Arlington Police Department at 817-272-3381 (non-emergency) or 817-272-3003 or 911 (emergency) or to the City of Arlington Police Department 817- 274-

4444 (non-emergency) or 911 (emergency) or to other local law enforcement authorities. The Title IX Deputy Coordinators can help individuals contact these law enforcement agencies. Employees and students with protective or restraining orders relevant to a complaint are encouraged to provide a copy to the University Police Department.

If a complaint of sexual misconduct is reported to the University Police Department, it shall advise the complainant of his or her right to file a complaint under this Policy. To the extent allowed by law and University policy, the University Police Department shall also notify the Title IX Coordinator of the complaint, and provide the Title IX Coordinator or the individual investigating the complaint access to any related University law enforcement records, so long as doing so does not compromise any criminal investigation.

- 3.4 Reporting to Outside Entities. An individual wishing to make a complaint may also contact the U.S. Department of Education, Office for Civil Rights (OCR) to complain of sex discrimination or sexual misconduct including sexual violence:

Office for Civil Rights
U.S. Department of Education
1999 Bryan Street, Suite 1620
Dallas, TX 75201-6810
Telephone: (214) 661-9600
Facsimile: (214) 661-9587

Employees may also contact the U.S. Equal Employment Opportunity Commission and the Texas Workforce Commission, Civil Rights Division to complain of sex discrimination or sexual harassment at:

Texas Workforce Commission, Civil Rights Division
101 East 15th St., Room 144T
Austin, TX 78701
Phone: 512-463-2642 or 888-452-4778
800-735-2989 (TDD)
http://www.twc.state.tx.us/crd/file_emp.html

U.S. Equal Employment Opportunity Commission
Dallas District Office
207 S. Houston Street, 3rd Floor
Dallas, TX 75202
Phone: (800) 669-4000
FAX: (214) 253-2720

- 3.5 Confidential Support and Resources. Physical and mental health care professionals and pastoral counselors (including those who act in that role under the supervision of these individuals), are prohibited by confidentiality laws from reporting any information about an incident to anyone, in any way that identifies the victim, without the victim's permission. Thus, students may discuss an incident with a counselor in Counseling and Psychological

Services, a health care provider in Health Services, the clergy person of the student's choice, or an off-campus resource (i.e. rape crisis center, doctor, psychologist, etc.) without concern that the incident will be reported to the Title IX Coordinator. Employees may also seek assistance from the Employee Assistance Program, their own personal health care provider, the clergy person of the employee's choice, or an off-campus rape crisis resource without concern that the incident will be reported to the Title IX Coordinator. The University and community resources that provide such services can be located at <https://www.uta.edu/rvsp/resources/important-numbers.php>.

3.6 Immunity. In an effort to encourage reporting of sexual misconduct, the University may grant immunity from student disciplinary action to a person who voluntarily initiates a report of sexual misconduct or assists a complainant, if that person acts in good faith in reporting a complaint or participating in an investigation. This immunity does not extend to the person's own violations of this Policy.

3.7 Title IX Coordinator and Deputy Coordinators.

Title IX Coordinator:

Jean Hood, Vice President for Human Resources
1225 W. Mitchell Street, Ste. 212
Arlington, Texas 76019-0132
Telephone: 817-272-7091
jmhood@uta.edu

Title IX Deputy Coordinator for Staff, Visitors, and Contractors:

Eddie Freeman
Executive Director
Phone: 817-272-2106
Email: efreeman@uta.edu
Office Location: 701 S. Davis Dr., In the Office & Classroom Bldg. Suite 104,
Arlington, Texas 76019

Title IX Deputy Coordinator for Faculty:

Maria Martinez-Cosio, Ph.D.
Assistant Vice Provost for Faculty Affairs
Phone: 817-272-3302
Email: mcosio@uta.edu
Office Location: Central Library, 702 Planetarium, Room 415, Arlington, Texas
76019

Title IX Deputy Coordinator for Students:

Heather Snow, Assistant Vice President for Student Affairs
300 W. First Street, University Center, Suite B120
Arlington, TX 76019-0132
Telephone: 817-272-1009

hsnow@uta.edu

Sec. 4. Parties' Rights Regarding Confidentiality. The University has great respect for the privacy of the parties in a complaint. Under federal law, however, Responsible Employees who receive a report of sexual misconduct must share that information with the Title IX Coordinator and/or a Deputy Coordinator. Those individuals may need to act to maintain campus safety and must determine whether to investigate further under Title IX, regardless of the complainant's request for confidentiality.

In the course of the investigation, the University may share information only as necessary with people who need to know to fulfill the purposes of this Policy and applicable law, such as investigators, witnesses, and the respondent. The University will take all reasonable steps to ensure there is no retaliation against a complainant. The University will comply with the Family Educational Rights and Privacy Act (FERPA), with Texas Education Code Sec. 51.971 and other confidentiality laws as they apply to Title IX investigations. To the extent possible, the University will also protect the privacy of all parties to a report of sexual misconduct.

Sec. 5. Victim Resources.

A. Medical Assistance. An individual who experiences any form of sexual, domestic, or dating violence is encouraged to seek immediate medical care. Also, preserving DNA evidence can be key to identifying the perpetrator in a sexual violence case. Victims can undergo a medical exam to preserve physical evidence with or without police involvement. If possible, this should be done immediately. If an immediate medical exam is not possible, individuals who have experienced a sexual assault may have a Sexual Assault Forensic Exam (SAFE) performed by a Sexual Assault Nurse Examiner (SANE) within 4 days of the incident. With the examinee's consent, the physical evidence collected during this medical exam can be used in a criminal investigation; however, a person may undergo a SAFE even without contacting, or intending to contact, the police. To undergo a SAFE, go directly to the emergency department of [insert hospital with SAFE capabilities] or the nearest hospital that provides SAFE services.

For more information about the SAFE, see <http://hopelaws.org/> or <https://www.texasattorneygeneral.gov/victims/sapcs.shtml#survivors>. The cost of the forensic portion of the exam is covered by the law enforcement agency that is investigating the assault or, in cases where a report will not be made to the police, the Texas Department of Public Safety. This does not include fees related to medical treatment that are not a part of the SAFE.

Police Assistance. The University encourages individuals who have experienced sexual misconduct to make a report to the police. It is important to note that police jurisdiction depends on where the sexual misconduct occurred. If the incident occurred on the university campus, a

report may be filed with the UTA Police Department (UTAPD) by calling 817-272-3381 or in person at UTAPD headquarters at 700 South Davis Street. If the incident occurred in the city of Arlington, but off campus, a report may be filed with the Arlington Police Department, even if time has passed since the assault occurred. If a report is made to the police, a uniformed officer will usually be dispatched to the location to take a written report. UTAPD can also assist with filing any protective orders. Reporting an assault to law enforcement does not mean that the case will automatically go to criminal trial or to a university disciplinary hearing. If the police are called, a uniformed officer will be sent to the scene to take a detailed statement. A ride to the hospital may be provided by a police department counselor. A report may be filed with the University police even if the assailant was not a University student or employee.

- B. **Counseling and Other Services.** A person who has experienced sexual violence is strongly encouraged to seek medical and psychological care even if he or she does not plan to request a SAFE or report the assault to the police. He or she may be prescribed medications to prevent sexually transmitted infections and/or pregnancy even if the police are not contacted or if a SAFE is not performed.

Medical care can be provided at University Health Services (for students only), at a local emergency room, or by a private physician. Psychological support can be provided by the University Counseling and Psychological Services (students), Employee Assistance (employees), a referral through the Employee Assistance Program, or a care provider of the individual's choosing.

Students desiring counseling should contact:

Counseling and Psychological Services

303 Ransom Hall • Arlington, TX 76019 • Phone: 817-272-3671 • Fax: 817-272-5523

Counseling and Psychological Services - Psychiatry

605 W. 1st Street • Arlington, TX 76019 • Phone: 817-272-2771 • Fax: 817-272-3829

Faculty and staff should contact:

Human Resources

J.D. Wetsel Building, Room 212: 1225 W. Mitchell St.
Box 19176, Arlington, TX 76019
Phone: 817-272-5554 - Fax: 817-272-7288

5.2 Interim Measures and Ongoing Assistance.

In addition to the services provided by on- and off-campus providers, the University will take immediate and interim measures to assure the safety and well-being of the complainant, to maintain an environment free from

harassment, discrimination or retaliation, and to protect the safety and well-being of community members.

For example, if the accused is an employee, interim action may include reassignment and suspension. If the accused is a student, interim action may include suspension, no contact orders, changing living arrangements, modifying the course schedule, or modifying other aspects of the educational environment. Interim action may also include allowing the complainant to move to a new residence hall, change work schedules, alter academic schedules, and withdraw from or retake a class without penalty. Moreover, the University may be able to provide additional accommodations for a complainant while an investigation is pending.

Sec. 6 Intake Procedures and Protocol.

6.1 Key Officials in an Investigation.

A. Title IX Coordinator. The Title IX Coordinator is the senior University administrator who oversees the University's compliance with Title IX. The Title IX Coordinator is responsible for leading the administrative investigation of reports of sexual misconduct and is available to discuss options, provide support, explain University policies and procedures, and provide education on relevant issues. The Title IX Coordinator has designated three Deputy Title IX Coordinators.

Any member of the University community may contact the Title IX Coordinator with questions.

B. Investigators. The Title IX Coordinator will ensure that complaints are properly investigated under this Policy. The Title IX Coordinator will also ensure that investigators are properly trained at least annually to conduct investigations that occur under this Policy. The Title IX Deputy Coordinators shall supervise and advise the Title IX investigators when conducting investigations and update the Title IX Coordinator as necessary.

6.2 Assessment of Complaint.

The Title IX Coordinator or designee will conduct a preliminary assessment of the complaint and determine whether a formal resolution or an informal resolution should occur. Informal resolution may be appropriate:

- A. With a complaint solely of sexual harassment, not including sexual violence as defined in this Policy; and
- B. When both parties are categorically similar (i.e. employee/employee or student/student).

6.3 Notification of University Offices Offering Assistance. Upon receipt of a complaint, the university Title IX Coordinator or Deputy Coordinator shall notify the Relationship Violence Prevention and Student Intervention office

("RVSP") and/or Employee Relations, as applicable, to contact the victim regarding available resources and victim assistance. A list of victim resources is available from the RVSP and Employee Relations offices, and also may be located at <http://www.uta.edu/rvsp/resources/important-numbers.php>.

6.4 Informal Resolution of Certain Sexual Harassment Complaints.

A complainant may use this option instead of or before filing a formal complaint, but is not required to do so. Also, this option is not permitted for sexual violence cases. Anyone who believes that he or she has been subject to sexual misconduct may immediately file a formal complaint as described in Section 3 of this Policy. An individual wishing to use the informal resolution process should contact the Title IX Coordinator.

- A. Informal Assistance. In certain sexual harassment complaints, an individual may not wish to file a formal complaint. If informal assistance is deemed appropriate by the Title IX Coordinator or designee, then the individual will be provided assistance in informally resolving the alleged sexual harassment. Assistance may include providing the complainant with strategies for communicating with the offending party that his or her behavior is unwelcomed and should cease, directing a University official to inform the offending party to stop the unwelcomed conduct, or initiating mediation. However, the University may take more formal action, including disciplinary action, to ensure an environment free of sexual harassment or sexual misconduct.
- B. Timeframe. Informal resolutions should be completed no later than 10 business days after the Title IX Coordinator receives the request for informal resolution.
- C. Confidentiality and Documentation. The University will document and record informal resolutions. The Title IX Coordinator will retain the documentation. If the individual's wish to remain anonymous limits the University's ability to establish facts and eliminate the potential harassment, the University will attempt to find the right balance between the individual's desire for privacy and confidentiality and its responsibility to provide an environment free of sexual harassment.

6.5 Formal Complaint and Investigation.

Formal Complaint. To begin the investigation process, the complainant should submit a signed, written statement setting out the details of the conduct that is the subject of the complaint, including the complainant's name, signature, and contact information; the name of the person directly responsible for the alleged violation; a detailed description of the conduct or event that is the basis of the alleged violation; the date(s) and location(s) of the occurrence(s); the names of any witnesses to the occurrence(s); the resolution sought; and any documents or information that is relevant to the complaint. The University may initiate an investigation regardless of the manner in which a complaint is received or whether a complaint is received at all. However, the complainant is strongly encouraged to file a written

complaint. If the complaint is not in writing, the investigator should prepare a statement of what he or she understands the complaint to be and ask the complainant to verify that statement. The University office receiving the complaint should refer the complaint to the Title IX Coordinator.

Investigation.

- A. An investigator will be assigned to investigate the complaint.
- B. As part of the investigation process, the complainant and the respondent will be provided notice of the complaint and allowed a reasonable time to respond in writing.
- C. The complainant and the respondent may present any document or information that is believed to be relevant to the complaint.
- D. Persons thought to have information relevant to the complaint will be interviewed, and those interviews will be appropriately documented. Both the respondent and the complainant may recommend witnesses for interview and suggest questions that should be asked. Neither the complainant nor the respondent will normally attend these interviews or the gathering of evidence; however, if either one is permitted to attend, the other shall have the same right.
- E. The investigation of a complaint will be concluded as soon as possible after receipt of the written complaint. In investigations exceeding 60 days, a justification for the delay will be presented to and reviewed by the Title IX Coordinator. The complainant, respondent, and supervisor should be provided updates on the progress of the investigation and issuance of the report.
- F. After the investigation is complete, a written report¹ will be issued to the Title IX Coordinator and the appropriate administrator. The appropriate administrator will depend on the status of the respondent (i.e., student, faculty or employee). The report shall include factual findings and a preliminary conclusion of whether a policy violation occurred (based on a "preponderance of the evidence" standard).
- G. After the written report is completed, the complainant and respondent will be allowed to inspect the report or, at the university's discretion, provided letters summarizing the findings in the report in keeping with FERPA and Texas Education Code, Section 51.971. If a letter is provided, it will contain enough detail to allow the complainant and respondent to comment on the adequacy of the investigation. Each will have 7 business days from the date of receipt (as indicated on the return receipt) to submit written comments regarding the investigation to the Title IX Coordinator.
- H. Within 7 business days after the deadline for receipt of comments from the complainant and respondent, the Title IX Coordinator or his or her

¹ Appropriate report redactions will be made to comply with Texas Education Code, Section 51.971.

designee will: (1) request further investigation into the complaint; (2) dismiss the complaint if it is determined that no violation of policy or inappropriate conduct occurred; or (3) find that the Policy was violated. A decision that the Policy was violated shall be based on the record.

- I. If the Title IX Coordinator or his or her designee determines that the Policy was violated, he or she will refer the matter for disciplinary action under the applicable disciplinary policies and procedures, which depend on the status of the respondent (i.e., student, faculty or employee).
- J. The complainant and the respondent shall be informed concurrently in writing of the decision in accordance with section 6.5.G of this Policy.
- K. The appropriate administrator will impose disciplinary action or sanction(s) in accordance with the applicable policies and procedures dependent on the status of the respondent (i.e., student, faculty or employee).

6.6 Standard of Proof. All investigations under this Policy will use the preponderance of the evidence standard to determine violations of this Policy.

6.7 Timelines. Barring any unforeseen and reasonable delays, the University will endeavor to resolve complaints under this Policy no later than 60 calendar days after the initial report was received by the Responsible Employee. If the investigation and resolution exceeds 60 calendar days, the University will notify all parties in writing of the reason for the delay and the expected time frame adjustment. Best efforts will be made to complete the process in a timely manner by balancing principles of thoroughness and fundamental fairness with promptness.

At the request of law enforcement, the University may defer its fact-gathering until after the initial stages of a criminal investigation. The University will nevertheless communicate with the complainant regarding his/her Title IX rights, procedural options, the status of the investigation, and the implementation of interim measures to ensure his/her safety and well-being. The University will also communicate with the respondent regarding his/her Title IX rights, procedural options and information regarding the status of the investigation. The University will promptly resume its fact-gathering as soon as law enforcement has completed its initial investigation, or if the fact-gathering is not completed in a reasonable time.

The filing of a complaint under this Policy does not excuse the complainant from meeting time limits imposed by outside agencies. Likewise, the applicable civil or criminal statute of limitations will not affect the University's investigation of the complaint.

6.8 Remedies. In addition to sanctions that may be imposed pursuant to the appropriate disciplinary policy, the University will take appropriate action(s), including but not limited to those below to resolve complaints of sexual misconduct, prevent any recurrence and, as appropriate, remedy any effects:

- (a) Imposing sanctions against the respondent, including attending training, suspension, termination or expulsion;
- (b) Ensuring the complainant and respondent do not share classes, working environments or extracurricular activities;
- (c) Making modifications to the on campus living arrangements of the respondent or complainant (if the complainant requests to be moved);
- (d) Providing comprehensive, holistic victim services including medical, counseling and academic support services, such as tutoring;
- (e) Providing the complainant extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;
- (f) Determining whether sexual misconduct adversely affected the complainant's university standing;
- (g) Designating an individual specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist victims whenever needed;
- (h) Conducting, in conjunction with University leaders, a University climate check to assess the effectiveness of efforts to ensure that the University is free from sexual misconduct, and using that information to inform future proactive steps that the University will take;
- (i) Providing targeted training for a group of students if, for example, the sexual misconduct created a hostile environment in a residence hall, fraternity or sorority, or on an athletic team. Bystander intervention and sexual misconduct prevention programs may be appropriate;
- (j) Issuing policy statements or taking other steps to clearly communicate that the University does not tolerate sexual misconduct and will respond to any incidents and to any individual who reports such incidents.

These remedies are separate from, and in addition to, any interim measures that may have been provided before the end of the University's investigation. If the complainant did not take advantage of a specific service (e.g., counseling) when offered as an interim measure, the complainant should still be offered, and is still entitled to, appropriate final remedies that may include services the complainant declined as an interim measure. A refusal at the interim stage does not mean the refused service or set of services should not be offered as a remedy.

6.9 Sanctions and Discipline. Disciplinary action against faculty and employees will be handled under the University's policies for discipline and dismissal of faculty and employees. Disciplinary actions may include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, and dismissal. The Office of Student Conduct will impose disciplinary action, if any, against a student under the University's student disciplinary procedures. Student disciplinary actions may include, but are not limited to, probation, suspension, or expulsion.

[LINK TO APPROPRIATE POLICIES]

In accordance with federal law, when disciplinary action is commenced because of a violation of this Policy, the above policies will provide both parties equal opportunities in all aspects of the process including notices and advisor representation. Further, the standard of proof in determining the outcome will be the “preponderance of the evidence,” as defined in this policy.

6.10 Appeals. Both the complainant and the respondent may appeal the findings of the investigation or the disciplinary action. The appeal process when a student is the respondent will follow the appeal process set forth in the appropriate disciplinary policy. In the event the disciplinary policy does not contain an applicable appeal process the following process will be followed:

The appealing party must submit a written appeal stating the specific reasons for the appeal and any argument to the President of the institution or his/her designee (hereafter "Appeal Official") with a copy to the other party. The appeal must be stamped as received in the Office of Appeal Official no later than 14 days after the appealing party has been notified of the outcome of the investigation and the sanction assessed, if any. If the notice of outcome of the investigation or the sanction assessed is sent by mail, the date the notice or decision is mailed initiates the 14-day period for the appeal. The non-appealing party, may submit a response to the appeal, which must be received by the Appeal Official no later than five days after receipt of the appeal, with a copy to the appealing party. Appeals will be reviewed solely on the basis of the written appeal, response and the investigation record and disciplinary decision.

The grounds for an appeal are limited to the following:

- a. Previously unavailable relevant evidence
- b. substantive procedural error in the investigation
- c. a finding not supported by evidence
- d. bias on the part of the investigator

The Appeal Official may approve, reject, or modify the decision in question or may require that the original hearing be reopened for the presentation of additional evidence and reconsideration of the decision.

Sec. 7. Provisions Applicable to the Investigation.

7.1 Assistance. During the investigation process, a complainant or respondent may be assisted by an advisor, who may be an attorney; however, the advisor may not actively participate in a meeting or interview.

7.2 Time Limitations. Time limitations in these procedures may be modified by the Title IX Coordinator, Deputy Coordinator, or appropriate administrator on a written showing of good cause by the complainant, respondent, or the University.

7.3 Concurrent Criminal or Civil Proceedings. The University will not wait for the outcome of a concurrent criminal or civil justice proceeding to take action.

The University has an independent duty to investigate complaints of sexual misconduct. (Except as provided in Sec. 6.7).

7.4 Documentation. The University shall document complaints and their resolution and retain copies of all materials in accordance with state and federal records laws and University policy.

Sec 8. Dissemination of Policy and Educational Programs.

8.1 This Policy will be made available to all University administrators, faculty, staff, and students online at [\[insert website\]](#). Periodic notices will be sent to University administrators, faculty, staff and students about the University's Sexual Harassment/Sexual Misconduct Policy. The notice will include information about sexual misconduct, including the complaint procedure, and about University disciplinary policies and available resources, such as support services, health, and mental health services. The notice will specify the right to file a complaint under this Policy and with law enforcement and will refer individuals to designated offices or officials for additional information.

8.2 Ongoing Sexual Misconduct Training. The University's commitment to raising awareness of the dangers of sexual misconduct includes offering ongoing education through annual training and lectures by faculty, staff, mental health professionals, and/or trained University personnel. The University will periodically educate and train employees and supervisors regarding the Policy and conduct that could constitute a violation of the Policy. Preventive education and training programs will be provided to University administrators, faculty, staff, and students and will include information about risk reduction, including bystander intervention. Training on sexual harassment and sexual violence policy and procedures will be provided to law enforcement personnel, including training on their obligation to advise University administrators, faculty, staff, and students of their rights to file a complaint under this Policy and their right to file a criminal complaint.

8.3 Training of Coordinators, Investigators, Hearing and Appellate Authorities. All Title IX Coordinators, Deputy Coordinators, investigators, and those with authority over sexual misconduct hearings and appeals shall receive training each academic year about offenses, investigatory procedures, due process, and University policies related to sexual misconduct.

Sec. 9. Additional Conduct Violations.

9.1 Retaliation. Any administrator, faculty member, student or employee who knowingly and intentionally retaliates in any way against an individual who has brought a complaint under this Policy, participated in an investigation or disciplinary process of such a complaint, or opposed any unlawful practice, is subject to disciplinary action up to and including dismissal or separation from the University.

9.2 False Complaints. Any person who knowingly and intentionally files a false complaint under this Policy is subject to disciplinary action up to and including

dismissal or separation from the University. A finding of non-responsibility does not indicate a report was false.

9.3 Interference with an Investigation. Any person who knowingly and intentionally interferes with an ongoing investigation conducted under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. Interference with an ongoing investigation may include, but is not limited to:

- (a) Attempting to coerce, compel, or prevent an individual from providing testimony or relevant information;
- (b) Removing, destroying, or altering documentation relevant to the investigation; or
- (c) Providing false or misleading information to the investigator, or encouraging others to do so.

9.4 No Effect on Pending Personnel or Academic Actions Unrelated to the Complaint. The filing of a complaint under this Policy will not stop or delay any action unrelated to the complaint, including: (1) any evaluation or disciplinary action relating to a complainant who is not performing up to acceptable standards or who has violated University rules or policies; (2) any evaluation or grading of students participating in a class, or the ability of a student to add/drop a class, change academic programs, or receive financial reimbursement for a class; or (3) any job-related functions of a University employee. Nothing in this section shall limit the University's ability to take interim action.

Sec. 10 Documentation. The University shall confidentially maintain information related to complaints under this Policy, as required by law. The Title IX Coordinator will document each complaint or request for assistance under this Policy, whether made by a victim, a third party, or anonymously, and will review and retain copies of all reports generated as a result of investigations. These records will be kept confidential to the extent permitted by law. Any person who knowingly and intentionally makes an unauthorized disclosure of confidential information contained in a complaint or otherwise related to the investigation of a complaint under this Policy is subject to disciplinary action.

Sec. 11 Annual Reporting and Notice. The University's Title IX General Policy Statement will be made available to all students, faculty, and employees online, in required publications and in specified departments. On an annual basis, and upon any updates to this Policy, the University will send notice of its compliance with Title IX as required by law. The annual notice shall designate the Title IX Coordinator and Deputy Coordinators, explain which offenses are prohibited and where to report violations of this Policy, provide information regarding victim resources, and provide a link to this Policy and other related University websites.

3. Definitions and Examples²

Consent – A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) intimidation, (d) coercion, (e) incapacitation or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to have sexual activity.

A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity.

The definition of consent for the crime of sexual assault in Texas can be found in Section 22.011(b) of the Texas Penal Code.³

Dating Violence⁴ – Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.

² The definitions provided in the main body of the text are the definitions adopted by the University. When applicable, we have included the state law definition. In any criminal action brought by law enforcement, the state law definition will apply.

³ Texas Penal Code, Section 22.011(b) states that a sexual assault is without consent if: (1) the actor compels the other person to submit or participate by the use of physical force or violence; (2) the actor compels the other person to submit or participate by threatening to use force or violence against the other person, and the other person believes that the actor has the present ability to execute the threat; (3) the other person has not consented and the actor knows the other person is unconscious or physically unable to resist; (4) the actor knows that as a result of mental disease or defect the other person is at the time of the sexual assault incapable either of appraising the nature of the act or of resisting it; (5) the other person has not consented and the actor knows the other person is unaware that the sexual assault is occurring; (6) the actor has intentionally impaired the other person's power to appraise or control the other person's conduct by administering any substance without the other person's knowledge; (7) the actor compels the other person to submit or participate by threatening to use force or violence against any person, and the other person believes that the actor has the ability to execute the threat.

⁴ Dating Violence is defined by the Texas Family Code, Section 71.0021 as:

- (a) an act, other than a defensive measure to protect oneself, by an actor that:
 - (1) is committed against a victim:
 - (A) with whom the actor has or has had a dating relationship; or
 - (B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and
 - (2) is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or sexual assault.
- (b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:
 - (1) the length of the relationship;
 - (2) the nature of the relationship; and
 - (3) the frequency and type of interaction between the persons involved in the relationship.

The existence of such a relationship shall be determined by the victim with consideration of the following factors:

- a) The length of the relationship;
- b) The type of relationship; and
- c) The frequency of interaction between the persons involved in the relationship

Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include acts covered under the definition of domestic violence.

Domestic (Family) Violence⁵ – includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.

Hostile Environment – exists when sex-based harassment is sufficiently severe or pervasive to deny or limit the individual's ability to participate in or benefit from the University's programs or activities or an employee's terms and conditions of employment. A hostile environment can be created by anyone involved in a University's program or activity (e.g., administrators, faculty members, employees, students, and University visitors).

In determining whether sex-based harassment has created a hostile environment, the University considers the conduct in question from both a subjective and objective perspective. It will be necessary, but not adequate, that the conduct was unwelcome to the individual who was harassed. To conclude that conduct created or contributed to a hostile environment, the University must also find that a reasonable person in the individual's position would have perceived the conduct as undesirable or offensive.

To ultimately determine whether a hostile environment exists for an individual or individuals, the University considers a variety of factors related to the severity, persistence, or pervasiveness of the sex-based harassment, including: (1) the type, frequency, and duration of the conduct; (2) the identity and relationships of the persons involved; (3) the number of individuals involved; (4) the location of the conduct and the

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- (c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b).

Texas Penal Code, Section 22.01 provides the criminal penalties associated with Dating Violence.

⁵ Family Violence is defined by the Texas Family Code Section 71.004 as:

- (1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or sexual assault, but does not include defensive measures to protect oneself;
- (2) abuse, as that term is defined by Sections [261.001\(1\)\(C\)](#), (E), and (G), by a member of a family or household toward a child of the family or household; or
- (3) dating violence, as that term is defined by Section [71.0021](#).

Texas Penal Code Section 22.01 provides the criminal penalties associated with Domestic (Family) Violence.

context in which it occurred; and (5) the degree to which the conduct affected an individual's education or employment.

The more severe the sex-based harassment, the less need there is to show a repetitive series of incidents to find a hostile environment. Indeed, a single instance of sexual assault may be sufficient to create a hostile environment. Likewise, a series of incidents may be sufficient even if the sex-based harassment is not particularly severe.

First Amendment Considerations: this Policy does not impair the exercise of rights protected under the First Amendment. The University's sexual misconduct policy prohibits only sex-based harassment that creates a hostile environment. In this and other ways, the University applies and enforces this Policy in a manner that respects the First Amendment rights of students, faculty, and others.

Incapacitation – A state of being that prevents an individual from having the capacity to give consent. For example, incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability.

Intimidation – Unlawfully placing another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.

Other Inappropriate Sexual Conduct – Includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature directed towards another individual that does not rise to the level of sexual harassment but is unprofessional, inappropriate for the workplace or classroom and is not protected speech. It also includes consensual sexual conduct that is unprofessional and inappropriate for the workplace or classroom.

Preponderance of the Evidence – The greater weight of the credible evidence. Preponderance of the evidence is the standard for determining allegations of sexual misconduct under this Policy. This standard is satisfied if the action is deemed more likely to have occurred than not.

Responsible Employee – A University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.5. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees.

Retaliation – Any adverse action threatened or taken against someone *because* the individual has filed, supported, provided information in connection with a complaint of sexual misconduct or engaged in other legally protected activities. Retaliation includes, but is not limited to, intimidation, threats or harassment against any complainant, witness or third party.

Sexual Assault⁶ – An offense that meets the definition of rape, fondling, incest, or statutory rape:

- a) *Rape*: the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- b) *Fondling*: The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.
- c) *Incest*: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- d) *Statutory Rape*: Sexual intercourse with a person who is under the statutory age of consent.

Sexual Exploitation – Occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit, or to benefit anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material by email, text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity, letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.

Sexual Harassment – Unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when submission to such conduct is made either explicitly or implicitly a term or condition of a person's student status, employment, or participation in University activities; such conduct is sufficiently severe or pervasive that it interferes with an individual's education, employment, or participation in University activities, or creates an objectively hostile environment; or such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's education, employment, or participation in University activities, or creating an intimidating, hostile, or offensive environment. Sexual harassment is a form of sex discrimination that includes:

- a) Sexual violence, sexual assault, stalking, domestic violence and dating violence as defined herein.
- b) Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - i. unwelcome intentional touching; or
 - ii. deliberate physical interference with or restriction of movement.

⁶ Sexual Assault is defined by Texas Penal Code, Section 22.011 as intentionally or knowingly:

- a) Causing the penetration of the anus or sexual organ of another person by any means, without that person's consent; or
- b) Causing the penetration of the mouth of another person by the sexual organ of the actor, without that person's consent; or
- c) Causing the sexual organ of another person, without that person's consent, to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor.

- c) Verbal conduct not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic idea, including oral, written, or symbolic expression, including but not limited to:
 - i. explicit or implicit propositions to engage in sexual activity;
 - ii. gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;
 - iii. gratuitous remarks about sexual activities or speculation about sexual experiences;
 - iv. persistent, unwanted sexual or romantic attention;
 - v. subtle or overt pressure for sexual favors;
 - vi. exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars or other materials; or
 - vii. deliberate, repeated humiliation or intimidation based upon sex.

Sexual Misconduct – A broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual assault, sexual exploitation, sexual intimidation, sexual harassment, domestic violence, dating violence, and stalking. Sexual misconduct can be committed by men or women, strangers or acquaintances, and can occur between or among people of the same or opposite sex.

Sexual Violence – Physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

Stalking⁷ – Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition--

- a) *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils,

⁷ Stalking as defined by Texas Penal Code, Section 42.072 is when an individual on more than one occasion and pursuant to the same scheme or course of conduct that is directed specifically at another person, knowingly engages in conduct that:

- a) is considered harassment, or that the actor knows or reasonably should know the other person will regard as threatening:
 - i. bodily injury or death for the other person;
 - ii. bodily injury or death for a member of the other person's family or household or for an individual with whom the other person has a dating relationship; or
 - iii. that an offense will be committed against the other person's property;
- b) causes the other person, a member of the other person's family or household, or an individual with whom the other person has a dating relationship to be placed in fear of bodily injury or death or in fear that an offense will be committed against the other person's property, or to feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended; and
- c) would cause a reasonable person to:
 - i. fear bodily injury or death for himself or herself;
 - ii. fear bodily injury or death for a member of the person's family or household or for an individual with whom the person has a dating relationship;
 - iii. fear that an offense will be committed against the person's property; or
 - iv. feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended.

threatens, or communicates to or about a person, or interferes with a person's property.

- b) *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
- c) *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

4. Relevant Federal and State Statutes, and Standards

[Title IX of the Education Amendments of 1972, 20 U.S.C. §§ 1681–1688 and its implementing regulations, 34 C.F.R. Part 106](#)

[Title VII of the Civil Rights Act of 1964, 42 U.S.C. §§2000e–2000e-17 and its implementing regulations 29 C.F.R. §1604 11.](#)

[Clery Act, 20 U.S.C 1092\(f\) and its implementing regulations 34 C.F.R. Part 668](#)

[FERPA Regulations, 34 C.F.R. Part 99](#)

5. Other Relevant Policies, Procedures, and Forms

[Regents' Rules and Regulations, Rule 30105, Sexual Harassment, Sexual Misconduct, and Consensual Relationships](#)

[University of Texas System Administration Systemwide Policy \(UTS 184\), Consensual Relationships](#)

[University's Non-Discrimination Policy](#)

[Regents' Rules and Regulations, Rule 31008, Termination of a Faculty Member](#)

[Staff Discipline and Discharge Policy](#)

[Student Conduct and Discipline](#)

6. System Administration Office(s) Responsible for Policy

Office of Compliance and Legal Affairs

7. Dates Approved or Amended

8. Contact Information

Questions or comments about this Policy should be directed to:

Office of Compliance and Legal Affairs (817) 272-2142

Handbook of Operating Procedures
The University of Texas at Austin



Policy Number: New 3-3031

Policy Contents:

- **Policy Statement**
- **Reason for Policy**
- **Scope & Audience**
- **Definitions**
- **Website (for policy)**
- **Contacts**
- **Responsibilities & Procedures**
- **Forms & Tools**
- **FAQs**
- **Related Information**
- **History**

Policy Title: Prohibition of Sex Discrimination, Sexual Harassment, Sexual Assault, Sexual Misconduct, Interpersonal Violence, and Stalking

Effective Date: July 1, 2015

Responsible Executive Sponsor:
Chief Compliance Officer and Vice President for Diversity & Community Engagement

Responsible Policy Owner:
University Title IX Coordinator and Office of Institutional Equity

Policy Contact:
University Title IX Coordinator

Prohibition of Sex Discrimination, Sexual Harassment, Sexual Assault, Sexual Misconduct, Interpersonal Violence, and Stalking

I. Policy Statement

It is the policy of The University of Texas at Austin ("University") to provide an educational and working environment for its students, faculty, and staff that is free from sex and gender discrimination, sexual harassment, sexual assault, sexual misconduct, interpersonal violence (including domestic violence and dating violence), and stalking. In accordance with federal and state law, the University prohibits discrimination on the basis of sex and gender and prohibits sexual harassment, sexual assault, sexual misconduct, interpersonal violence, and stalking.

The University will not tolerate sex and/or gender discrimination (including discrimination on the basis of gender orientation, gender identity or gender expression), sexual harassment, sexual misconduct or physical abuse, threats of violence, physical assault, or any form of sexual violence including but not limited to sexual assault, acquaintance rape, domestic violence, dating violence or stalking. These unacceptable behaviors are hereafter collectively referred to as "prohibited conduct." Individuals who alone, or in concert with others, participate or attempt to participate in prohibited conduct described in this policy are subject to disciplinary action by the University, notwithstanding any action that may or may not be taken by civil or criminal authorities.

The University strongly urges students, faculty, staff, and third-parties to promptly report incidents of prohibited conduct as provided in this policy. Responsible Employees of the University (as defined below) are required to promptly report incidents of prohibited conduct as provided in this policy. The University will respond to all reports of prohibited conduct. As described in this policy, the University will conduct a prompt, fair, and impartial investigation and resolution for complaints and, where appropriate, issue remedial measures and/or sanctions. The standard of evidence that will be used in investigating and resolving complaints made under this policy is the "preponderance of the evidence" standard. This standard is met if the allegation is deemed more likely to have occurred than not.

II. Reason for Policy

This policy provides information regarding the University's prevention and education efforts related to sex discrimination, sexual harassment, sexual assault, sexual misconduct, interpersonal violence, and stalking. The policy also explains how the University will proceed once it is made aware of allegations of prohibited conduct in keeping with the University's values and in order to meet the legal obligations of Title VII and Title IX, and other applicable law.

III. Scope & Audience

This policy applies to all University students and employees, visitors, applicants for admission to or employment with the University, as well as University affiliates and others conducting business on campus.

In addition to incidents that occur on the University campus, the University may investigate and take disciplinary action in response to incidents that take place during official functions of the University, or incidents that have a substantial connection to the interests of the University regardless of the location in which the incident(s) occur.

IV. Definitions (specific to this policy)

For purposes of this policy, the below definitions apply. However, some of these terms are also defined under federal and/or Texas State law. For more information regarding state law definitions, please refer to Section X of this policy.

Complaint: A signed document or other report, including verbal reports (if appropriately acknowledged), alleging a violation of this policy.

Complainant: A person who submits a complaint alleging a violation of this policy.

Consent: A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) intimidation, (d) coercion, (e) incapacitation, or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to engage in sexual activity.

An individual's manner of dress or the existence of a current or previous dating or sexual relationship between two or more individuals does not, in and of itself, constitute consent to engage in a particular sexual activity. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity.

Incapacitation: A state of being that prevents an individual from having the capacity to give consent. For example, incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability.

Interpersonal Violence: An offense that meets the definition of domestic violence or dating violence:

Domestic Violence: Abuse or violence committed by a current or former spouse or intimate partner of the complainant, by a person with whom the complainant shares a child in common, by a person with whom the complainant is cohabitating (or has cohabited) with a spouse or

intimate partner, by a person similarly situated to a spouse of the complainant under the domestic or family violence laws of the State of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the State of Texas.

Dating Violence: Abuse or violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the complainant. The existence of such a relationship will be determined based on the complainant's statement and with consideration of the type and length of the relationship and the frequency of interaction between the persons involved in the relationship. Two people may be in a romantic or intimate relationship regardless of whether the relationship is sexual in nature; however, neither a casual acquaintance nor ordinary fraternization between two individuals in a business or social context shall constitute a romantic or intimate relationship. This definition does not include acts covered under domestic violence.

Respondent: The person designated to respond to a complaint. Generally, the respondent is the person alleged to be responsible for the prohibited conduct alleged in a complaint.

Responsible Employee: Pursuant to Title IX, a Responsible Employee is a University employee who has the authority to take action to redress an alleged violation of this policy; who has been given the duty of reporting such allegations to the University Title IX Coordinator or designee; or whom an individual could reasonably believe has this authority or duty.

At the University of Texas at Austin, Responsible Employees include, but are not limited to:

- administrators
- academic advisors
- coaches, and other athletic staff who interact directly with students
- faculty members, including professors, adjuncts, lecturers, associate/assistant instructors (AIs), and teaching assistants (TAs)
- graduate research assistants
- residence life directors
- resident assistants
- all supervisory staff

Responsible Employees have a **duty** to promptly report incidents of sex discrimination, sexual harassment, sexual assault, sexual misconduct, interpersonal violence, and stalking to the University Title IX Coordinator or Deputy Title IX Coordinators. Responsible Employees are not confidential reporting resources.

Retaliation: Any action that adversely affects the academic, employment, or other institutional status of a student or employee of the University, visitor, applicant for admission to or employment with the University, because an individual has, in good faith, brought a complaint under this policy, opposed an unlawful practice, participated in an investigation, or requested accommodations. Examples of retaliation include, but are not limited to: denial of promotion, non-selection/refusal to hire, denial of job benefits, demotion, suspension, discharge, threats, reprimands, negative evaluations, harassment; or other adverse treatment that is likely to deter reasonable people from pursuing their rights. Retaliation is strictly prohibited and will not be tolerated.

Sex Discrimination: Conduct directed at a specific individual or a group of identifiable individuals that subjects the individual or group to treatment that adversely affects the individual or group's employment or education on the basis of sex (gender).

Alleged discriminatory behavior that is not on the basis of sex (gender) is not covered by this policy; however, such discriminatory conduct is addressed by other University policies prohibiting discrimination on a variety of bases. See [HOP 3-3020](#) Nondiscrimination Policy.

Sexual Assault: An offense that meets the definition of rape, fondling, incest, or statutory rape:

Rape: The penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the complainant.

Fondling: The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the complainant, including instances where the complainant is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.

Incest: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

Statutory Rape: Sexual intercourse with a person who is younger than 17 years of age and is not a spouse of the respondent.

Sexual Harassment: Unwelcome conduct of a sexual nature. Sexual harassment is a form of sex discrimination that can occur when

- the submission to unwelcome physical conduct of a sexual nature, or to unwelcome requests for sexual favors or other verbal conduct of a sexual nature, is made an implicit or explicit term or condition of employment or education;
- the submission to or rejection of unwelcome physical conduct of a sexual nature, or unwelcome requests for sexual favors or other verbal conduct of a sexual nature, is used as a basis for academic or employment decisions or evaluations;
- unwelcome physical acts of a sexual nature, or unwelcome requests for sexual favors or other verbal conduct of a sexual nature, that have the effect of creating an objectively hostile environment that substantially interferes with employment or education on the basis of sex; or
- such conduct is intentionally directed towards a specific individual and has the purpose or effect of unreasonably interfering with that individual's education, employment, or participation in University activities, or creating an intimidating, hostile, or offensive atmosphere.

Sexual harassment may include

1. Sexual violence, as defined under the Texas Penal Code, which includes rape, sexual assault, sexual battery, and sexual coercion.
2. Physical conduct that, depending on the totality of the circumstances present, including frequency and severity, may constitute sexual harassment includes. but is not limited to
 - unwelcome intentional touching; or
 - deliberate physical interference with or restriction of movement.

3. Verbal conduct, including oral, written, or symbolic expression, that, depending on the totality of the circumstances present, including frequency and severity, may constitute sexual harassment includes, but is not limited to
 - explicit or implicit propositions to engage in sexual activity;
 - gratuitous comments, jokes, questions, anecdotes, or remarks of a sexual nature about clothing or bodies;
 - gratuitous remarks about sexual activities or speculation about sexual experiences;
 - persistent, unwanted sexual or romantic attention;
 - subtle or overt pressure for sexual favors;
 - exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars, or other materials; or
 - deliberate, repeated humiliation or intimidation based upon sex.

This policy applies only to verbal conduct that is not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic idea.

Sexual Misconduct: Behavior or conduct of a sexual nature that is unprofessional and/or inappropriate for the educational and/or working environment. Behaviors that may constitute sexual misconduct include, but are not limited to

- repeatedly engaging in sexually oriented conversations, comments, or horseplay, including the use of language or the telling of jokes or anecdotes of a sexual nature in the workplace, office, or classroom, even if such conduct is not objected to by those present;
- gratuitous use of sexually oriented materials not directly related to the subject matter of a class, course, or meeting, even if not objected to by those present;
- failure to observe the appropriate boundaries of the supervisor/subordinate or faculty member/student relationship, including the participation of a supervisor, teacher, advisor, or coach in an unreported consensual romantic or sexual relationship with a subordinate employee or student; or
- engaging in any form of sexual exploitation. Sexual exploitation occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit or to benefit anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material by email, text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity, letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.

Stalking: A course of conduct directed at a specific person that would cause a reasonable person to fear for his/her own safety or the safety of others or would cause that person to suffer substantial emotional distress. A “course of conduct” means two or more acts in which a person directly, indirectly or through third parties, by any action, method, device or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person or interferes with a person’s property. “Reasonable person” means a reasonable person under similar circumstances and with similar identities to the complainant. “Substantial emotional distress” means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

V. Website (specific to this policy)

<http://www.policies.utexas.edu/policies/hop/3-3031>

VI. Contacts

Contact	Details	Web
University Title IX Coordinator	Phone:512-232-3992	Website: http://www.utexas.edu/titleix/ Email: TitleIX@austin.utexas.edu
Deputy Title IX Coordinator: Office of Institutional Equity (Faculty & Staff Concerns)	Phone:512-471-1849	Website: http://www.utexas.edu/equity Email: equity@utexas.edu
Deputy Title IX Coordinator: Student Emergency Services (Student Concerns)	Phone:512-471-5017	Website: http://deanofstudents.utexas.edu/emergency/ Email: studentemergency@austin.utexas.edu
UT Counseling and Mental Health Center (CMHC)	Address: Student Services Building (SSB) 5th Floor Phone: 512-471-3515 24-Hour Telephone Counseling: 512-471-CALL (2255)	Website: http://www.cmhc.utexas.edu/index.html
University Health Services (UHS)	Address: Student Services Building (SSB) 1st Floor Phone: 512-475-4955 Nurse Advice Line: 512-475-NURS (6877)	Website: http://www.healthyhorns.utexas.edu/index.html
Employee Assistance Program (EAP)	Phone: 512-471-3366 24-hour Telephone Line: 512-471-3399	Website: http://www.utexas.edu/hr/eap Email: eap@austin.utexas.edu

VII. Responsibilities & Procedures

A. Filing a Complaint and Reporting Violations

1. Reporting

All administrators, faculty, staff, students, and third parties are strongly encouraged to promptly report any incidents of sex discrimination, sexual harassment, sexual assault, sexual misconduct, interpersonal violence, and/or stalking to the University Title IX Coordinator, a Deputy Title IX Coordinator, or through other reporting channels listed below.

Individuals wishing to file a complaint of sex discrimination, sexual harassment, sexual assault, sexual misconduct, interpersonal violence, and/or stalking are also strongly encouraged to promptly notify the University Title IX Coordinator, a Deputy Title IX Coordinator, or a Responsible Employee. Responsible Employees are in turn required to promptly notify the University Title IX Coordinator or a

Deputy Title IX Coordinator of the complaint. Individuals also have the right to pursue a legal remedy for the prohibited conduct covered by this policy in addition to or instead of proceeding under this policy.

A complaint under this policy may be filed by the University, faculty, staff, student, or third party based on the alleged conduct of any University employee, including faculty, staff, student-employee, as well as visitors, University affiliates and others conducting business on campus. Complaints based on the alleged conduct of students who are not also employees of the University are addressed in the *General Information Catalog* ("GIC"), [Appendix D](#).

- a. Rights and Responsibilities. The University shall provide all complainants who allege they have experienced prohibited conduct with information about
 - applicable University policies and procedures, including the University's investigation and resolution process;
 - rights and University responsibilities with respect to orders of protection, restraining orders, and/or no contact orders and how to obtain such orders;
 - options about the involvement of law enforcement authorities; and
 - available campus and community resources.
- b. Anonymity. Individuals wishing to remain anonymous can file a complaint in any manner, including by telephone or written communication with the University Title IX Coordinator or a Deputy Title IX Coordinator; however, electing to remain anonymous may greatly limit the University's ability to stop the prohibited conduct, collect evidence, or take effective action against individuals or organizations accused of violating the policy.
- c. Confidentiality. The University has an obligation to maintain an environment free of sex discrimination, thus many University employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in strict confidence may use the resources outlined in this policy.
- d. Timeliness of Complaint. To promote timely and effective review, the University strongly encourages individuals who believe they have experienced or witnessed prohibited conduct to come forward promptly with their inquiries, reports, or complaints and to seek assistance from the University. Responsible Employees are *required* to promptly report incidents of prohibited conduct to the University Title IX Coordinator or a Deputy Title IX Coordinator. Delays in reporting can greatly limit the University's ability to stop the prohibited conduct, collect evidence, and/or take effective action against individuals or organizations accused of violating the policy.

B. Prohibition on Retaliation

Retaliation against a person who reports a potential violation under this policy, assists someone with a report of a violation, or participates in any manner in an investigation or in the resolution of a complaint made under this policy is strictly prohibited and will not be tolerated. Retaliation includes, but is not limited to, threats, intimidation, reprisals and/or adverse actions related to an individual's employment or education. The University will take appropriate steps to assure that a person who in good faith reports, complains about, or participates in an investigation pursuant to this policy will not be subjected to retaliation. Individuals who believe they are experiencing

retaliation are strongly encouraged to lodge a complaint with the University using the same procedure outlined in this policy.

C. Support Services

Any University employee who requires assistance with work arrangements and/or University-provided support services and referrals as a result of an alleged violation of this policy is encouraged to visit the Office of Institutional Equity (OIE) for additional information. OIE staff can assist employees with the various reporting options and support services that may be available to them.

Any University student who requires assistance with classes, living arrangements, and/or University-provided support services and referrals as a result of an alleged violation of this policy is encouraged to visit the Office of the Dean of Students - Student Emergency Services (SES) for additional information. SES staff can assist students with the various reporting options and support services that may be available to them.

If an employee or student believes he or she has experienced conduct prohibited under this policy, the individual may also contact the University Title IX Coordinator or a Deputy Title IX Coordinator for additional assistance and information. Employees/students who would like to report an alleged sexual assault, interpersonal violence (including domestic violence and dating violence) and/or stalking to the police and would like the University Title IX Coordinator or a Deputy Title IX Coordinator to accompany him or her to provide support during the reporting process, should contact the University Title IX Coordinator or a Deputy Title IX Coordinator via the contact information provided above.

The University also encourages anyone who believes they experienced or witnessed a sexual assault (or any other crime) to make a report to the University of Texas Police Department (UTPD), if the assault occurred on campus, or to local law enforcement, for assaults occurring off campus.

University of Texas Police Department (UTPD)

Phone: 512-471-4441, then enter "9" (for non-emergencies)
Emergencies: 911
Address: 2201 Robert Dedman Drive
Austin, TX 78705

Austin Police Department

Phone: 512-974-5000
Emergencies: 911

Individuals may also contact the following external, federal and state agencies:

U.S. Department of Education (Office for Civil Rights)

1999 Bryan Street, Suite 1620
Dallas, TX 75201-6810
Phone: 214-661-9600
Fax: 214-661-9587
OCR.Dallas@ed.gov

U.S. Equal Employment Opportunity Commission

Legacy Oaks, Building A

Suite 200
San Antonio, TX 78229
Phone: 800-669-4000
Fax: 210-281-7690
<http://www.eeoc.gov>

Texas Workforce Commission

Civil Rights Division
101 E. 15th Street
Room 144-T
Austin, TX 78778-0001
Phone: 512-463-2642
www.twc.state.tx.us

D. Confidentiality and Anonymity

Individuals wishing to remain anonymous can file a complaint (by telephone or in writing) with the University Title IX Coordinator or a Deputy Title IX Coordinator. However, electing to remain anonymous may greatly limit the University's ability to investigate an alleged incident, collect evidence and/or take effective action against individuals or organizations accused of violating this policy.

The University has an obligation to maintain an environment free of sex discrimination, thus many University employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. In the event confidentiality cannot be maintained, the University will share information only as necessary and only with people who need to know to fulfill the purposes of this policy and applicable law, such as investigators, witnesses, administrators, and the respondent. The University will comply with the Family Educational Rights and Privacy Act (FERPA), with [Texas Education Code Section 51.971](#) and other confidentiality laws as they apply to Title IX investigations.

Complainants who want to discuss a complaint in strict confidence may use the confidential support resources described in this policy.

E. Complaint Investigation and Disciplinary Process

The University strongly encourages the prompt reporting of prohibited conduct covered by this policy. Delays in reporting can greatly limit the University's ability to stop the alleged conduct, collect evidence, and/or take effective action against individuals or organizations accused of violating this policy. A report of alleged violations of this policy may be made by

- a person who believes they experienced prohibited conduct (a complainant); and/or
- a person who has information that prohibited conduct may have been committed (a reporter).

Once a report of prohibited conduct is received, the University will respond promptly and investigate the report in a fair and impartial manner. Where warranted, the University will enact interim measures. The University will handle reports of prohibited conduct consistently with procedural guidelines developed to ensure prompt and equitable resolution of such reports. If a complainant chooses not to participate in the University's investigation of a report, the University may, at its discretion, pursue the report without the complainant's participation.

The purpose of an investigation, which includes interviewing the parties and witnesses, is to gather and assess evidence. The standard of evidence that will be used in investigating and adjudicating complaints made under this policy is the “**preponderance of the evidence**” standard. This standard is met if the allegation is deemed more likely to have occurred than not. All investigators shall have appropriate and ongoing training regarding issues related to domestic violence, dating violence, sexual assault, sexual misconduct and stalking, as well as, on how to conduct an investigation that protects the safety of complainants and promotes accountability.

Possible outcomes of an investigation are (1) a finding that the allegations are not warranted or could not be substantiated; (2) a finding that the allegations are substantiated and constitute a violation of the policy and, if so, (3) referral to the appropriate administrative authority for corrective action. The University will also provide interim and remedial measures, to the extent possible, to protect the reporting party and eliminate any hostile environment.

1. Complaints against UT students

Individuals may report an alleged violation of this policy by a University student to the University Title IX Coordinator, or a Deputy Title IX Coordinator, the Office of the Dean of Students, or to any Responsible Employee listed below which includes, but is not limited to:

- administrators
- academic advisors
- coaches, or other athletic staff who interact directly with students
- faculty members, including professors, adjuncts, lecturers, associate/assistant instructors (AIs), and teaching assistants (TAs)
- graduate research assistants
- residence life directors
- resident assistants
- all supervisory staff

Responsible Employees are in turn required to promptly notify the University Title IX Coordinator or a Deputy Title IX Coordinator of the reported incident. Responsible Employees are not confidential reporting resources.

Depending on the respondent’s relationship with the University, the investigation will be managed by the Office of the Dean of Students - Student Judicial Services or the Office of Institutional Equity according to their respective procedures.

Student Judicial Services processes complaints of violations of this policy as provided in [Appendix C](#), Chapter 11, *Student Discipline and Conduct*.

The Office of Institutional Equity processes complaints of violations of this policy as provided in its Procedure and Practice Guide, available at <https://www.utexas.edu/equity/policies/procedure-and-practice-guide>.

2. Complaints against UT Employees (faculty and staff), Visitors, or Contractors

Individuals may report an alleged violation of this policy by a University employee, including faculty, staff, and student employees, as well as visitors, or contractors to the University Title IX Coordinator, a Deputy Title IX Coordinator, the Office of Institutional Equity, or to any Responsible Employee listed below which includes, but is not limited to:

- administrators
- academic advisors
- coaches, or other athletic staff who interact directly with students
- faculty members, including full-time professors, adjuncts, lecturers, associate/assistant instructors (AIs), and teaching assistants (TAs)
- graduate research assistants
- residence life directors
- resident assistants
- all supervisory staff members

Responsible Employees are in turn required to promptly notify the University Title IX Coordinator or a Deputy Title IX Coordinator of the reported incident. Responsible Employees are not confidential reporting resources.

Depending on the respondent's relationship with the University, the investigation will be managed by the Office of the Dean of Students - Student Judicial Services or the Office of Institutional Equity according to their respective procedures.

Student Judicial Services processes complaints of violations of this policy as provided in [Appendix C](#) (Chapter 11, Student Discipline and Conduct).

The Office of Institutional Equity processes complaints of violations of this policy as provided in its Procedure and Practice Guide, available at <https://www.utexas.edu/equity/policies/procedure-and-practice-guide>.

3. Summary of Rights of the Complainant and Respondent in Investigations Pursuant to this Policy

Parties to an investigation initiated pursuant to this policy shall

- receive a prompt, fair, and impartial investigation and resolution of all reports of prohibited conduct by an investigator(s) who is properly trained to investigate and resolve such allegations;
- be notified of available counseling, mental health, academic, legal and other applicable support services, both at the University and in the community;
- be informed of all applicable University policies and procedures as well as the nature and extent of all alleged violations contained within the report;
- have the right to be accompanied by an advisor of the individual's choosing during all meetings, proceedings, and/or disciplinary hearings at which the individual is present. (The role of the advisor will be limited to being present only; advisors are not allowed to actively participate in the process);

- be given equal chance to participate in the investigation process, including the opportunity to identify witnesses and other relevant evidence;
 - be simultaneously informed in writing of the outcome of any University disciplinary hearing arising from an allegation of prohibited conduct, of the University's procedures for appealing the results of the disciplinary hearing, of any changes in the outcome that occurs before the outcome is finalized, and of the University's final outcome.
4. Informal Resolution Options. The University recognizes that in some limited circumstances (but never in cases involving sexual violence) voluntary informal resolution options may be an appropriate means of addressing some behaviors reported under this policy. If the informal resolution process is deemed appropriate by the University Title IX Coordinator, or designee, then the complainant will be provided assistance in informally resolving the issue.
5. Interference with an Investigation. Any person who knowingly and intentionally interferes with an investigation conducted under this policy is subject to disciplinary action up to and including dismissal or separation from the University. Interference with an investigation may include, but is not limited to
- attempting to coerce, compel, or prevent an individual from providing testimony or relevant information;
 - removing, destroying, or altering documentation relevant to the investigation; or
 - providing false or misleading information to the investigator, or encouraging others to do so.

F. Bystander Intervention

Bystanders play a critical role in the prevention of sexual assaults, domestic violence, dating violence, and stalking. For example, bystanders may have the power to stop assaults, get help for people who have been victimized, and/or alert the appropriate authorities. The University is committed to promoting a culture of shared accountability where bystanders are actively engaged in the prevention of prohibited conduct. As such, all members of the University community are encouraged to intervene or interrupt prohibited conduct they witness. Examples of bystander intervention include

- confronting people who seclude, hit on, or sexually assault people who are incapacitated;
- speaking up when someone discusses plans to take sexual advantage of another person;
- calling the police when a person is being physically abusive towards another;
- refusing to leave the area (or call police) if a person is trying to get you to leave so they can take advantage of another;
- ensuring that community members who are incapacitated are not left alone or in vulnerable situations; and

- referring people to appropriate University and community resources.

G. Ongoing Training

The University's commitment to preventing and raising awareness of the harm resulting from the conduct prohibited in this policy includes offering ongoing education to both employees and students. To that end, this policy will be published on the University's website. Information regarding this policy and related policies will also be included in orientation materials for new students, faculty, and staff. Appropriate compliance training sessions will also be conducted on an ongoing basis. Training sessions will include information on how and where to report incidents of prohibited conduct, resources available, as well as, safe and positive options for bystander intervention that may be carried out by individuals to prevent harm or intervene when there is a risk of sexual misconduct being inflicted on another person. In addition, the University Title IX Coordinator, Deputy Title IX Coordinators, and all investigators and hearing officers receive training each academic year about offenses, investigatory procedures, due process requirements, conducting a hearing, and University policies related to or described in this policy. The University is committed to protecting the safety of complainants and the due process rights of respondents, as well as promoting accountability.

H. Academic, Living, Travel, or Work Accommodation(s)

In some instances, when an individual reports an alleged violation of this policy to the University, the University may take emergency action to protect the emotional health or physical safety of the reporting individual and/or of the larger University community. Such arrangements will be facilitated through the appropriate University officials and all decisions will be based upon the evidence then available.

I. Interim Measures and Final Sanctions

1. Interim and remedial measures: The University may implement interim measures, as may be necessary to assure the safety and well-being of the complainant, to maintain an environment free from harassment, discrimination, or retaliation, and to protect the safety and well-being of community members. Appropriate University officials will decide if and what interim measures are necessary. Such interim measures may include, but are not limited to, separating the complainant's and respondent's academic or working situations, forbidding contact between parties involved in a complaint, suspending the right of the respondent to be present on campus or otherwise altering the University status of the respondent. Other interim measures may be implemented given the respondent's relationship with the University. These interim measures may be kept in place through the conclusion of any review, investigation, or appeal process.
2. Final sanctions: If a respondent is found responsible for violating this policy, the University may impose a sanction on the respondent and initiate additional remedial actions.

Disciplinary action against faculty and staff will be handled under the University's policies for discipline and dismissal of faculty and staff. Disciplinary actions may include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, and dismissal.

Disciplinary action against a student will be imposed by the Office of the Dean of Students in accordance with University's student disciplinary procedures. Student disciplinary actions may include, but are not limited to, probation, suspension, or expulsion.

J. Options and Resources

Below is a list of educational and preventive programs and support services on and off campus that provide information relating to sexual assault, interpersonal violence (including domestic violence and dating violence), and stalking. Brochures and other printed materials are available from each office. Additional information may be obtained by calling the numbers or visiting the web sites listed below.

1. Police and Medical Resources

An individual who experiences any form of sexual assault is strongly encouraged to seek immediate medical care. Individuals can undergo a medical exam to properly collect and preserve physical evidence of the sexual assault with or without the police's involvement. It is important to preserve forensic and other physical evidence that may assist in proving the alleged criminal offense occurred and such evidence may be helpful in obtaining a protection order against the respondent. Therefore, a medical exam should be performed immediately after the event, if possible. If a medical exam is not or cannot be performed immediately after the event, individuals may still obtain a Sexual Assault Forensic Exam (SAFE) within five (5) days of the sexual assault if law enforcement is involved and within four (4) days if they are not. With the individual's consent, the physical evidence collected during this medical exam can be used as part of a criminal investigation; however, an individual may undergo a SAFE regardless of whether he/she has contacted, or intends to contact, the police. To obtain a SAFE exam contact SafePlace at (512 267-SAFE). For additional information, see <http://hopelaws.org/>. An individual may also seek an exam from their own physician.

The cost of the forensic portion of the exam is covered by the law enforcement agency that is investigating the assault or, in cases where a report will not be made to the police, the Texas Department of Public Safety. This does not include fees related to medical treatment that are not a part of the SAFE. For more information about financial resources available for individuals who experience any form of sexual assault, please see the information about Voices Against Violence and Student Emergency Services below.

Reporting an assault to law enforcement does not mean the case will automatically go to criminal trial or through University disciplinary processes. If the police are called, a uniformed officer will be sent to the scene to take a detailed statement. A ride to the hospital may be provided by a police department counselor. A report may be filed with the police regardless of whether or not the accused was a UT student.

If a decision is made to make a report to the police, it is important to note that police jurisdictions depend on where the sexual assault occurred.

If the alleged incident occurred on campus, a report may be filed with the UT Police Department (UTPD) by calling 512-471-4441, enter "9" (for non-emergencies) or in person at UTPD headquarters at 2201 Robert Dedman Drive, Austin, TX 78705 (across from the Manor Garage and Darrell K Royal-Texas Memorial Stadium).

If the alleged incident occurred in Austin but off-campus, a report may be filed with the Austin Police Department (APD), regardless of time elapsed since the assault occurred. If a report is made to the police, a uniformed officer will be dispatched to the location to make a written report.

- Emergency: 911
- Victim Services (bilingual operators available): 512-974-5037
- Relationship violence (Family Protection Team): 512-974-8535
- Non-emergency stalking reports: 311

An individual who has experienced a sexual assault is strongly encouraged to seek medical and psychological care regardless of whether he/she intends to request a SAFE or report the assault to the police. He/she may be prescribed medications to prevent sexually transmitted infections and/or pregnancy regardless of whether the police were contacted or a SAFE was performed. Medical care can be provided at University Health Services (for students), at a local emergency room, or by a private physician. Psychological support can be provided by the UT Counseling and Mental Health Center (for students), SafePlace, or by a care provider of the individual's choosing.

UHS Nurse Advice Line is staffed 24 hours a day, every day of the year. Students may call 512-475-6877 (NURS) for free advice and guidance about health-related questions.

An individual who experiences any form of sexual assault may pursue any civil or criminal remedies provided by state law. An individual does not need to file a criminal police report to either use on or off-campus resources or to file a complaint with the University.

2. Confidential On-Campus Resources

If an individual would like the details of the incident to remain confidential, he/she should speak with a campus mental health counselor, campus health service providers, Employee Assistance Program (EAP) counselors, and/or off-campus rape crisis resources who can maintain confidentiality. Campus counselors may be seen on an emergency basis.

Counseling and Mental Health Center: <http://www.cmhc.utexas.edu/>

512-471-3515

- Provides information about safety, legal, housing, academic, and medical options and manages the VAV Survivor Emergency Fund
- Offers individual and group counseling service
- Operates twenty-four-hour telephone counseling service at 512-471-CALL (471-2255)

University Health Services: <http://www.healthyhorns.utexas.edu/>

Appointments: 512-471-4955

24 Hr. Nurse Advice Line: 512-475-NURS (475-6877)

- Provides general exams to treat injuries, both internal and external

University Employee Assistance Program: <http://www.utexas.edu/hr/eap/>

Appointments: 512-471-3366

For emergency situations outside normal working hours call: 512-471-3399

- Provides short term, problem solving counseling sessions.
- Available following any trauma or crisis experienced by an employee.

3. Non-Confidential On-Campus Resources (with Title IX Reporting Obligations)

You are **strongly encouraged** to report an alleged violation of this policy to a University Responsible Employee (e.g., an administrator, academic advisor, coach, faculty member). When a Responsible Employee is informed of an alleged violation of this policy, the Responsible Employee is **required** to notify the University Title IX Coordinator or a Deputy Title IX Coordinator of the allegation. The University takes reports of alleged violations of this policy very seriously and will investigate such allegations. Formal reporting to a Responsible Employee means that only people who need to know of the alleged violation will be informed, and such information will be shared only as necessary with relevant University employees, witnesses, and the accused individual.

University Title IX Coordinator

University Compliance Services

512-232-3992

titleix@austin.utexas.edu

www.utexas.edu/TitleIX

Deputy Title IX Coordinator for Faculty/Staff

Office of Institutional Equity

512-471-1849

equity@austin.utexas.edu

www.utexas.edu/TitleIX

Deputy Title IX Coordinator for Students

Student Emergency Services

Office of the Dean of Students

512-471-5017

studentemergency@austin.utexas.edu

www.utexas.edu/TitleIX

Student Emergency Services

512-471-5017

<http://deanofstudents.utexas.edu/emergency/>

- May provide limited emergency funds
- Assists with academic issues
- Provides referrals within the University and in the Austin area when necessary
- Serves as an advocate for students while working with other campus departments

Student Judicial Services

512-471-2841

<http://deanofstudents.utexas.edu/sjs/>

- Provides information about how the University's investigation and student disciplinary process works
- Investigates allegations that a student respondent may have violated University policy and administers the University disciplinary process
- Issues no contact directives to students involved in a complaint

University of Texas Police Department

512-471-4441, enter "9" (for non-emergencies)

<http://www.utexas.edu/police/>

- Offers crime prevention presentations that include issues related to assault
- Publishes crime statistics information
- Teaches free Rape Aggression Defense (RAD) classes to University students, staff members, and faculty members

Behavior Concerns Advice Line (BCAL)

512-232-5050

<https://www.utexas.edu/safety/bcal/>

- Allows members of the University community to discuss their concerns about an individual's behavior
- Offers a centralized resource that is available twenty-four hours a day for anyone who is not sure how to help a person he or she is concerned about

New Student Services

512-471-3304

<http://deanofstudents.utexas.edu/nss/>

- Provides programs to raise awareness of sexual assault on campus and resources for prevention and support
- Trains Orientation advisers about issues related to sexual assault and interpersonal violence

Sorority and Fraternity Life

512-471-9700

<http://deanofstudents.utexas.edu/sfl/>

- Conducts educational workshops for individual fraternities and sororities
- Provides sexual assault education to all incoming pledges

Student Ombuds Services

512-471-3825

<http://www.utexas.edu/students/ombuds>

- Provides information about University resources and University processes to students.

Faculty Ombuds Services

512-232-3535

<http://www.utexas.edu/faculty/council/ombuds/>

- Provides information about University resources and University processes to faculty.

Staff Ombuds Services

512-232-8205

<https://www.utexas.edu/staff/ombuds>

- Provides information about University resources and University processes to staff.

University Residence Halls

512-471-8631

<http://www.utexas.edu/student/housing/>

- Trains resident assistants on issues related to sexual assault
- Publishes an online safety handbook
- Offers individual and group support and follow-up

4. Austin Community Resources

SafePlace

512-267-SAFE

<http://www.safeplace.org/>

- Operates a twenty-four-hour hotline
- Helps individuals who have experienced a sexual assault navigate the forensic medical exam
- Offers individual and group therapy for individuals who have experienced sexual assault and/or domestic violence
- Provides domestic violence shelter services

Austin Police Department

911

<http://www.austintexas.gov/department/police>

- At 911, provides emergency response and takes reports of sexual assaults
- Offers Victim Services counselors at 512-974-5037

St. David's Hospital Emergency Room

512-544-4240

<http://www.stdavids.com/locations-facilities/st-davids-medical-center.aspx>

- Operates emergency room, located at 919 East 32nd Street, Austin, TX 78705

University Medical Center Brackenridge – Seton

512-324-7000

<http://www.seton.net/locations/brackenridge/>

- Operates emergency room, located at 601 East 15th Street, Austin, TX 78701

K. State Law Definitions

If a person would like to press criminal charges for an alleged violation of any of the below criminal laws, or would like to seek an order of protection, the definitions contained in the Texas Penal Code would apply; not the internal definitions used in this policy.

Dating Violence: “an act, other than a defensive measure to protect oneself, by an individual that is committed against a victim with whom the actor has or has had a dating relationship; or because of the victim’s marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or sexual assault. ‘Dating relationship’ means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of the length of the relationship; the nature of the relationship; and the frequency and type of interaction between the persons involved in the relationship. A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a ‘dating relationship.’” Texas Family Code Section 71.0021.

Domestic (Family) Violence: “an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or sexual assault, but does not include defensive measures to protect oneself, or abuse by a member of a family or household toward a child of the family or household, or dating violence.” Texas Family Code Section 71.004.

Sexual Assault: “a person commits an offense if the person (1) intentionally or knowingly causes the penetration of the anus or sexual organ of another person by any means, without that person's consent; causes the penetration of the mouth of another person by the sexual organ of the actor, without that person's consent; or causes the sexual organ of another person, without that person's consent, to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor; or (2) intentionally or knowingly causes the penetration of the anus or sexual organ of a child by any means; causes the penetration of the mouth of a child by the sexual organ of the actor; causes the sexual organ of a child to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor; causes the anus of a child to contact the mouth, anus, or sexual organ of another person, including the actor; or causes the mouth of a child to contact the anus or sexual organ of another person, including the actor.

A sexual assault is without the consent of the other person if: the actor compels the other person to submit or participate by the use of physical force or violence; the actor compels the other person to submit or participate by threatening to use force or violence against the other person, and the other person believes that the actor has the present ability to execute the threat; the other person has not consented and the actor knows the other person is unconscious or physically unable to resist; the actor knows that as a result of mental disease or defect the other person is at the time of the sexual assault incapable either of appraising the nature of the act or of resisting it; the other person has not consented and the actor knows the other person is unaware that the sexual assault is occurring; the actor has intentionally impaired the other person's power to appraise or control the other person's conduct by administering any substance without the other person's knowledge; the actor compels the other person to submit or participate by threatening to use force or violence against any person, and the other person believes that the actor has the ability to execute the threat; the actor is a public servant who coerces the other person to submit or participate; or the actor is a mental health services provider or a health care services provider who causes the other person, who is a patient or former patient of the actor, to submit or participate by exploiting the other person's emotional dependency on the actor. ‘Child’ means a person younger than 17 years of age. ‘Spouse’ means a person who is legally married to another.” Texas Penal Code Section 22.011.

Stalking: “a person who, on more than one occasion and pursuant to the same scheme or course of conduct that is directed specifically at another person, knowingly engages in conduct that: (1) the person knows or reasonably believes the other person will regard as threatening including bodily injury or death for the other person, bodily injury or death for a member of the other person’s family or household or for an individual with whom the other person has a dating relationship, or fear that an offense will be committed against the other person’s property, and (2) causes the other person, a member of the other person's family or household, or an individual with whom the other person has a dating relationship to be placed in fear of bodily injury or death or fear that an offense will be committed against the other person's property, and (3) would cause a reasonable person to fear bodily injury or death for himself or herself, or bodily injury or death for a member of the person's family or household or for an individual with whom the person has a dating relationship, or fear that an offense will be committed against the person’s property. A fact

finder may find that different types of conduct described above, if engaged in on more than one occasion, constitute conduct that is engaged in pursuant to the same scheme or course of conduct.” Texas Penal Code Section 42.072.

VIII. Forms & Tools

For a complete list of University and community resources see below or the University’s Title IX Resource Guide at: [http://www.utexas.edu/sites/default/files/files/Title IX Resource Guide Sexual Assault-2014.pdf](http://www.utexas.edu/sites/default/files/files/Title%20IX%20Resource%20Guide%20Sexual%20Assault-2014.pdf)

IX. Frequently Asked Questions

None

X. Related Information

[Title IX of the Education Amendments of 1972, 20 U.S.C. §§ 1681–1688 and its implementing regulations, 34 C.F.R. Part 106](#)

[Title VII of the Civil Rights Act of 1964, 42 U.S.C. §§2000e–2000e-17 and its implementing regulations 29 C.F.R. §1604 11](#)

[Clery Act, 20 U.S.C 1092\(f\) and its implementing regulations 34 C.F.R. Part 668](#)

[FERPA Regulations, 34 C.F.R. Part 99](#)

[Texas Education Code, Chapter 51, Section 51.971](#)

[Texas Penal Code, Chapter 22, Section 22.01](#)

[Texas Penal Code, Chapter 22, Section 22.011](#)

[Texas Penal Code, Chapter 42, Section 42.072](#)

[Texas Family Code, Chapter 71, Section 71.004](#)

[Texas Family Code, Chapter 71, Section 71.0021](#)

UT System Policy [UTS184, Consensual Relationships](#)

Board of Regents’ [Rule 31008](#), Termination of a Faculty Member

[HOP 2-2150](#) Annual Review and Periodic Evaluation of Tenured Faculty

[HOP 5-2420](#) Policies and Procedures for Discipline and Dismissal of

Student Discipline is found in the [General Information Catalog](#)

XI. History

Last review date: July 01, 2015

Editorial changes made July 10, 2015 and July 17, 2015

Next scheduled review: July 2017

This policy replaces the former HOP 3-3030 "Sex Discrimination and Sexual Harassment" and HOP 3-3040 "Sexual Misconduct" retired effective July 1, 2015 when this policy became effective.

Prohibited Discrimination and Sexual Harassment/ Sexual Misconduct Policy

Sec. 1 General Policy Statement.

- 1.1 The University of Texas at Dallas (the University) is committed to maintaining a learning and working environment that is free from [discrimination](#) and harassment based on sex in accordance with Title IX of the Higher Education Amendments of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act). Sexual misconduct is a form of sex discrimination and will not be tolerated. As stated in the definition, sexual misconduct includes [sexual harassment](#), [sexual violence](#), [sexual assault](#), [stalking](#), [domestic violence](#) and/or [dating violence](#). Individuals who engage in sexual misconduct and other inappropriate sexual conduct will be subject to disciplinary action. The university prohibits [retaliation](#).
- 1.2 It is the policy of The University of Texas at Dallas to provide an educational and working environment that provides equal opportunity to all members of the University community. In accordance with federal and state law, the University prohibits unlawful discrimination against someone because of a person's race, color, religion, sex (including pregnancy), national origin, age, disability, genetic information, or veteran status. The University's commitment to equal opportunity extends its nondiscrimination protections to include sexual orientation, gender expression, and gender identity.
- 1.3 The University will take prompt disciplinary action against any individuals or organizations within its control who violate this Policy. The University encourages any student, faculty, staff or visitor to promptly report violations of this Policy to an individual identified in Section 3.2.

Sec. 2 Applicability.

This Policy applies to all University administrators, faculty, staff, students, and third parties within the University's control, including visitors and applicants for employment. It applies to conduct regardless of where it occurs, including off University property, if it potentially affects the complainant's education or employment with the University. It also applies regardless of the gender, sexual orientation, gender expression, gender identity. In addition, it applies whether the complaint was made by or against a third party, and whether the complaint was made verbally or in writing.

Sec. 3 Filing a Complaint and Reporting Violations.

3.1 All Members of the University Community, Third Party and Anonymous Complaints. All administrators, faculty, staff, students, and third parties are strongly encouraged to immediately report any incidents of Discrimination, sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct to the Title IX Coordinator or Deputy Coordinators.

- (a) **Anonymity.** Individuals wishing to remain anonymous can file a complaint in any manner, including by telephone or written communication with the Title IX Coordinator or a Deputy Coordinator; however, electing to remain anonymous may greatly limit the University's ability to stop the harassment, collect evidence, or take effective action against individuals or organizations accused of violating the Policy.
- (b) **Confidentiality.** The University has an obligation to maintain an environment free of sex discrimination, thus many University employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in strict confidence may use the resources outlined in Section 3.5.
- (c) **Timeliness of Complaint.** Complaints should be reported as soon as possible after the complainant becomes aware of the inappropriate conduct. Delays in reporting can greatly limit the University's ability to stop the harassment, collect evidence, and/or take effective action against individuals or organizations accused of violating the Policy.

3.2 Responsible Employees. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees. A Responsible Employee is a University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include **all** administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.5.¹ Responsible Employees can find contact information for the Title IX Coordinator and Deputy Coordinators at the following website: www.utdallas.edu/titleIX

¹ For example, a student may make a complaint to an employee in the Dean of Students' Office, a faculty member or university police. Each of these individuals is considered a Responsible Employee and accordingly each is obligated to report the complaint to the Title IX Coordinator or other appropriate designee.

3.3. Reporting to Law Enforcement. Complaints of sexual misconduct may also be made to The University of Texas at Dallas Police Department at (972) 883-2222 or to the City of Richardson Police Department (972) 744-4800 (non-emergency) or 911 (emergency) or to other local law enforcement authorities. The Title IX Deputy Coordinators can help individuals contact these law enforcement agencies. Employees and students with protective or restraining orders relevant to a complaint are encouraged to provide a copy to the University Police Department.

If a complaint of sexual misconduct is reported to the University Police Department, it shall advise the complainant of his or her right to file a complaint under this Policy. To the extent allowed by law and University policy, the University Police Department shall also notify the Title IX Coordinator of the complaint, and provide the Title IX Coordinator or the individual investigating the complaint access to any related University law enforcement records, so long as doing so does not compromise any criminal investigation.

3.4 Reporting to Outside Entities. An individual wishing to make a complaint may also contact the U.S. Department of Education, Office for Civil Rights (OCR) to complain of sex discrimination or sexual misconduct including sexual violence:

Office for Civil Rights

U.S. Department of Education
1999 Bryan Street
Dallas, TX 75201-6810
Phone: (214) 661-9600
Fax: (214) 661-9587
Email: OCR.Dallas@ed.gov

Employees may also contact the U.S. Equal Employment Opportunity Commission to complain of discrimination, sex discrimination or sexual harassment:

U.S. Equal Employment Opportunity Commission

Dallas District Office
207 S. Houston Street, 3rd Floor
Dallas, TX 75202
Phone: (800) 669-4000, FAX: (214) 253-2720

3.5 Confidential Support and Resources. Physical and mental health care professionals and pastoral counselors (including those who act in that role under the supervision of these individuals), are prohibited by confidentiality laws from reporting any information about an incident to anyone, in any way that identifies the victim, without the victim's permission.

Thus, students may discuss an incident with a counselor in the Student Counseling Center, the Women's Center, a health care provider in the Student Health Center, the clergyperson of the student's choice, or an off-campus resource (i.e. rape crisis center, doctor, psychologist, etc.) without concern that the incident will be reported to the Title IX Coordinator. Employees may also seek assistance from the Employee Assistance Program, their own personal health care provider, the clergyperson of the employee's choice, or an off-campus rape crisis resource without concern that the incident will be reported to the Title IX Coordinator. The University and community resources that provide such services are at [APPENDIX A](#).

3.6 Immunity. In an effort to encourage reporting of sexual misconduct, the University may grant immunity from student disciplinary action to a person who voluntarily initiates a report of sexual misconduct or assists a complainant, if that person acts in good faith in reporting a complaint or participating in an investigation. This immunity does not extend to the person's own violations of this Policy.

3.7 Title IX Coordinator and Deputy Coordinators. The Title IX Coordinator and Deputy Coordinators are: James C. Dockery, AVP Institutional Equity and Compliance and Title IX Coordinator; Dean of Students, Deputy Title IX Coordinator. As appropriate, the university may expand the list of Deputy Coordinators.

Sec. 4. Parties' Rights Regarding Confidentiality.

4.1 The University has great respect for the privacy of the parties in a complaint. Under federal law, however, Responsible Employees who receive a report of sexual misconduct must share that information with the Title IX Coordinator and/or a Deputy Coordinator. Those individuals may need to act to maintain campus safety and must determine whether to investigate further under Title IX, regardless of the complainant's request for confidentiality.

4.2 In the course of the investigation, the University may share information only as necessary with people who need to know to fulfill the purposes of this Policy and applicable law, such as investigators, witnesses, and the respondent. The University will take all reasonable steps to ensure there is no retaliation against a complainant. The University will comply with the Family Educational Rights and Privacy Act (FERPA), with Texas Education Code Sec. 51.971 and other confidentiality laws as they apply to Title IX investigations. To the extent possible, the University will also protect the privacy of all parties to a report of sexual misconduct.

Sec. 5. Victims Resources.

5.1 Immediate Assistance.

In addition to the resources listed below, a detailed list of resources can be found at [APPENDIX A](#).

- (a) Healthcare. An individual who experiences any form of sexual, domestic, or dating violence is encouraged to seek immediate medical care. Also, preserving DNA evidence can be key to identifying the perpetrator in a sexual violence case. Victims can undergo a medical exam to preserve physical evidence with or without police involvement. If possible, this should be done immediately. If an immediate medical exam is not possible, individuals who have experienced a sexual assault may have a Sexual Assault Forensic Exam (SAFE) performed by a Sexual Assault Nurse Examiner (SANE) within 4 days of the incident. With the examinee's consent, the physical evidence collected during this medical exam can be used in a criminal investigation; however, a person may undergo a SAFE even without contacting, or intending to contact, the police. To undergo a SAFE, go directly to any nearest hospitals with emergency rooms (Under Senate Bill 1191 - from September 1, 2013, all Texas hospitals with emergency rooms are required to have staff trained in at least basic collection of forensic evidence from sexual assault victims). To date, [Methodist Hospital](#) Dallas uses SANE nurses to perform SAFE examination.
- (b) For more information about the SAFE, see <http://hopelaws.org/> or <https://www.texasattorneygeneral.gov/victims/sapcs.shtml#survivors>
The cost of the forensic portion of the exam is covered by the law enforcement agency that is investigating the assault or, in cases where a report will not be made to the police, the Texas Department of Public Safety. This does not include fees related to medical treatment that are not a part of the SAFE.
- (c) Police Assistance. The University encourages individuals who have experienced sexual misconduct to make a report to the police. It is important to note that a police department's geographic jurisdiction depends on where the sexual misconduct occurred. If the incident occurred on the University campus, a report may be filed with the [UTD Police Department](#) by calling at 972-883-2222 or in person at UT Dallas Police headquarters, 800 W. Campbell Road, PD11, Richardson, TX 75080, even if time has passed since the assault occurred.
- (d) The University of Texas at Dallas Police Department can also assist with filing any protective orders. Reporting an assault to law enforcement does not mean that the case will automatically go to criminal trial or to a University disciplinary hearing. If the University police are called, a uniformed officer will be sent to the scene to take a detailed statement. A ride to the hospital may be provided by a police department officer. A report may be filed with the University police even if the assailant was not a

University student or employee. If the incident occurred in the City of Richardson or Dallas but off campus, a report may be filed with the local Police Department, even if time has passed since the assault occurred. If a report is made to the police, a uniformed officer will usually be dispatched to the location to take a written report.

- (e) Counseling and Other Services. A person who has experienced sexual violence is strongly encouraged to seek medical and psychological care even if he or she does not plan to request a SAFE or report the assault to the police. He or she may be prescribed medications to prevent sexually transmitted infections and/or pregnancy even if the police are not contacted or if a SAFE is not performed.
- (f) Medical care can be provided at University Health Services (for students only), at a local emergency room, or by a private physician. Psychological support can be provided by the University Counseling and Psychological Services (students), Employee Assistance (employees), a referral through the Employee Assistance Program, or a care provider of the individual's choosing.

5.2 Interim Measures and Ongoing Assistance.

In addition to the services provided by on- and off-campus providers, the University will take immediate and interim measures to assure the safety and well-being of the complainant, to maintain an environment free from harassment, discrimination or retaliation, and to protect the safety and well-being of community members.

For example, if the accused is an employee, interim action may include reassignment and suspension. If the accused is a student, interim action may include suspension, no contact orders, changing living arrangements, modifying the course schedule, or modifying other aspects of the educational environment. Interim action may also include allowing the complainant to move to a new residence hall, change work schedules, alter academic schedules, and withdraw from or retake a class without penalty. Moreover, the University may be able to provide additional accommodations for a complainant while an investigation is pending.

Sec. 6 Intake Procedures and Protocol.

6.1 Key Officials in an Investigation.

- (a) Title IX Coordinator: The Title IX Coordinator is the senior University administrator who oversees the University's compliance with Title IX. The Title IX Coordinator is responsible for leading the administrative investigation of reports of sexual misconduct and is available to discuss options, provide support, explain University policies and procedures, and provide education on relevant issues. The Title IX Coordinator may

designate one or more Deputy Title IX Coordinators. Any member of the University community may contact the Title IX Coordinator with questions.

- (b) Investigators: The Title IX Coordinator will ensure that complaints are properly investigated under this Policy. The Title IX Coordinator will also ensure that investigators are properly trained at least annually to conduct investigations that occur under this Policy. The Title IX Coordinator shall supervise and advise the Title IX investigators when conducting investigations.

6.2 Assessment of Complaint.

The Title IX Coordinator or designee will conduct a preliminary assessment of the complaint and determine whether a formal resolution or an informal resolution should occur. Informal resolution may be appropriate:

- (a) With a complaint solely of sexual harassment, not including sexual violence as defined in this Policy; and
- (b) When both parties are categorically similar (i.e. employee/employee or student/student).

6.3 Notification of University Offices Offering Assistance. After receiving a complaint, the Title IX Coordinator or Deputy Coordinator shall forward the complainant to the Director of Title IX Compliance to conduct the investigation or assign to another qualified investigator.

6.4 Informal Resolution of Certain Sexual Harassment Complaints. (OPTIONAL)

A complainant may use this option instead of or before filing a formal complaint, but is not required to do so. Also, this option is not permitted for sexual violence cases. Anyone who believes that he or she has been subject to sexual misconduct may immediately file a formal complaint as described in Section 3 of this Policy. An individual wishing to use the informal resolution process should contact the Title IX Coordinator.

- (a) Informal Assistance. In certain sexual harassment complaints, an individual may not wish to file a formal complaint. If informal assistance is deemed appropriate by the Title IX Coordinator or designee, then the individual will be provided assistance in informally resolving the alleged sexual harassment. Assistance may include providing the complainant with strategies for communicating with the offending party that his or her behavior is unwelcomed and should cease, directing a University official to inform the offending party to stop the unwelcomed conduct, or initiating mediation. However, the University may take more formal action, including disciplinary action, to ensure an environment free of sexual harassment or sexual misconduct.
- (b) Timeframe. Informal resolutions should be completed no later than 10 business days after the Title IX Coordinator receives the request for informal resolution.

- (c) Confidentiality and Documentation. The University will document and record informal resolutions. The Title IX Coordinator will retain the documentation. If the individual's wish to remain anonymous limits the University's ability to establish facts and eliminate the potential harassment, the University will attempt to find the right balance between the individual's desire for privacy and confidentiality and its responsibility to provide an environment free of sexual harassment.

6.5 Formal Complaint and Investigation.

Formal Complaint.

To begin the investigation process, the complainant should submit a signed, written statement setting out the details of the conduct that is the subject of the complaint, including the complainant's name, signature, and contact information; the name of the person directly responsible for the alleged violation; a detailed description of the conduct or event that is the basis of the alleged violation; the date(s) and location(s) of the occurrence(s); the names of any witnesses to the occurrence(s); the resolution sought; and any documents or information that is relevant to the complaint. A complaint form is attached at [APPENDIX B](#). The University may initiate an investigation regardless of the manner in which a complaint is received or whether a complaint is received at all.

However, the complainant is strongly encouraged to file a written complaint by using the attached compliant form at [APPENDIX B](#). If the complaint is not in writing, the investigator should prepare a statement of what he or she understands the complaint to be and ask the complainant to verify that statement. The University office receiving the complaint should refer the complaint to the Title IX Coordinator.

Investigation.

- (a) An investigator will be assigned to investigate the complaint.
- (b) As part of the investigation process, the complainant and the respondent will be provided notice of the complaint and allowed a reasonable time to respond in writing.
- (c) The complainant and the respondent may present any document or information that is believed to be relevant to the complaint.
- (d) Persons thought to have information relevant to the complaint will be interviewed, and those interviews will be appropriately documented. Both the respondent and the complainant may recommend witnesses for interview and suggest questions that should be asked. Neither the complainant nor the respondent will normally attend these interviews or the gathering of evidence; however, if either one is permitted to attend, the other shall have the same right.

- (e) The investigation of a complaint will be concluded as soon as possible after receipt of the written complaint. In investigations exceeding 60 days, a justification for the delay will be presented to and reviewed by the Title IX Coordinator or his/her supervisor. The complainant, respondent, and supervisor should be provided updates on the progress of the investigation and issuance of the report.
- (f) After the investigation is complete, a written report² will be issued to the Title IX Coordinator and the appropriate administrator. The appropriate administrator will depend on the status of the respondent (i.e., student, faculty or employee). The report shall include factual findings and a preliminary conclusion of whether a policy violation occurred (based on a “preponderance of the evidence” standard).
- (g) After the written report is completed, the complainant and respondent will be allowed to inspect the report or, at the university’s discretion, provided letters summarizing the findings in the report in keeping with FERPA and Texas Education Code, Section 51.971. If a letter is provided, it will contain enough detail to allow the complainant and respondent to comment on the adequacy of the investigation. Each will have 7 business days from the date of receipt (as indicated on the return receipt) to submit written comments regarding the investigation to the Title IX Coordinator.
- (h) Within 7 business days after the deadline for receipt of comments from the complainant and respondent, the Title IX Coordinator or his or her designee will: (1) request further investigation into the complaint; (2) dismiss the complaint if it is determined that no violation of policy or inappropriate conduct occurred; or (3) find that the Policy was violated. A decision that the Policy was violated shall be based on the record.
- (i) If the Title IX Coordinator or his or her designee determines that the Policy was violated, he or she will refer the matter for disciplinary action under the applicable disciplinary policies and procedures, which depend on the status of the respondent (i.e., student, faculty or employee).
- (j) The complainant and the respondent shall be informed concurrently in writing of the decision in accordance with section 6.5.G of this Policy.
- (k) The appropriate administrator will impose disciplinary action or sanction(s) in accordance with the applicable policies and procedures dependent on the status of the respondent (i.e., student, faculty or employee).

6.6 Standard of Proof. All investigations under this Policy will use the preponderance of the evidence standard to determine violations of this Policy.

6.7 Timelines. Barring any unforeseen and reasonable delays, the University will endeavor to resolve complaints under this Policy no later than 60 calendar days after the initial report was received by the Responsible Employee. If the investigation and resolution exceeds 60

² Appropriate report redactions will be made to comply with Texas Education Code, Section 51.971.

calendar days, the University will notify all parties in writing of the reason for the delay and the expected time frame adjustment. Best efforts will be made to complete the process in a timely manner by balancing principles of thoroughness and fundamental fairness with promptness.

At the request of law enforcement, the University may defer its fact-gathering until after the initial stages of a criminal investigation. The University will nevertheless communicate with the complainant regarding his/her Title IX rights, procedural options, the status of the investigation, and the implementation of interim measures to ensure his/her safety and well-being. The University will also communicate with the respondent regarding his/her Title IX rights, procedural options and information regarding the status of the investigation. The University will promptly resume its fact-gathering as soon as law enforcement has completed its initial investigation, or if the fact-gathering is not completed in a reasonable time.

The filing of a complaint under this Policy does not excuse the complainant from meeting time limits imposed by outside agencies. Likewise, the applicable civil or criminal statute of limitations will not affect the University's investigation of the complaint.

6.8 Remedies. In addition to sanctions that may be imposed pursuant to the appropriate disciplinary policy, the University will take appropriate action(s), including but not limited to those below to resolve complaints of sexual misconduct, prevent any recurrence and, as appropriate, remedy any effects:

- (a) Imposing sanctions against the respondent, including attending training, suspension, termination or expulsion;
- (b) Ensuring the complainant and respondent do not share classes, working environments or extracurricular activities;
- (c) Making modifications to the on campus living arrangements of the respondent or complainant (if the complainant requests to be moved);
- (d) Providing comprehensive, holistic victim services including medical, counseling and academic support services, such as tutoring;
- (e) Providing the complainant extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;
- (f) Determining whether sexual misconduct adversely affected the complainant's university standing;
- (g) Designating an individual specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist victims whenever needed;

- (h) Conducting, in conjunction with University leaders, a University climate check to assess the effectiveness of efforts to ensure that the University is free from sexual misconduct, and using that information to inform future proactive steps that the University will take;
- (i) Providing targeted training for a group of students if, for example, the sexual misconduct created a hostile environment in a residence hall, fraternity or sorority, or on an athletic team. Bystander intervention and sexual misconduct prevention programs may be appropriate;
- (j) Issuing policy statements or taking other steps to clearly communicate that the University does not tolerate sexual misconduct and will respond to any incidents and to any individual who reports such incidents.

These remedies are separate from, and in addition to, any interim measures that may have been provided before the end of the University's investigation. If the complainant did not take advantage of a specific service (e.g., counseling) when offered as an interim measure, the complainant should still be offered, and is still entitled to, appropriate final remedies that may include services the complainant declined as an interim measure. A refusal at the interim stage does not mean the refused service or set of services should not be offered as a remedy.

6.9 Sanctions and Discipline. Disciplinary action against faculty and employees will be handled under the University's policies for discipline and dismissal of faculty and employees. Disciplinary actions may include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, and dismissal. Further information regarding disciplinary actions are contained within the [Student Code of Conduct](#).

If a student is found responsible based upon the preponderance of the evidence (more likely to have occurred than not) for a violation as defined herein, the University may impose disciplinary sanctions including, but not limited to:

- (a) **Expulsion.** Permanent separation of the student from the University. The student is restricted from enrolling at any other UT System institution without prior consent from the chief student affairs officer at that institution.
- (b) **Suspension.** Suspension from the University is for a specified amount of time and prohibits, during the period of suspension, the student from entering campus, except in response to an official request. The student must comply with all conditions imposed prior to reenrollment. Further, the student is restricted from enrolling at any other UT System institution during the term of the suspension without prior consent from the chief student affairs officer at that institution.

- (c) **Deferred expulsion/suspension.** Expulsion/Suspension will be postponed, but will be automatic if the student commits any additional rule violations while on deferred suspension.
- (d) **Disciplinary probation.** Disciplinary probation identifies a specified period of time during which the student is required to comply with terms and conditions that include not engaging in further conduct in violation of this policy. Any conduct in violation of these regulations while in a probationary status may result in the imposition of a sanction of suspension or expulsion.
- (e) **Educational sanction.** An educational sanction may include the requirement to complete or attend educational activities, programs, or presentations, or any other learning experience deemed appropriate.
- (f) **Developmental probation.** Requires a student to satisfy conditions related to the violation, such as counseling, educational seminars, or periodic meetings with a designated University official. This may be effective in providing educational opportunities for the student to participate in discussions that will explore alternative behaviors.

In accordance with federal law, when disciplinary action is commenced because of a violation of this Policy, the above policies will provide both parties equal opportunities in all aspects of the process including notices and advisor representation. Further, the standard of proof in determining the outcome will be the “preponderance of the evidence,” as defined in this policy.

Sec. 7. Provisions Applicable to the Investigation.

- 7.1 **Assistance.** During the investigation process, a complainant or respondent may be assisted by an advisor, who may be an attorney; however, the advisor may not actively participate in a meeting or interview.
- 7.2 **Time Limitations.** Time limitations in these procedures may be modified by the Title IX Coordinator or appropriate administrator on a written showing of good cause by the complainant, respondent, or the University.
- 7.3 **Concurrent Criminal or Civil Proceedings.** The University will not wait for the outcome of a concurrent criminal or civil justice proceeding to take action. The University has an independent duty to investigate complaints of sexual misconduct. (Except as provided in Sec. 6.7).

7.4 **Documentation.** The University shall document complaints and their resolution and retain copies of all materials in accordance with state and federal records laws and University policy.

Sec 8. Dissemination of Policy and Educational Programs.

8.1 This Policy will be made available to all University administrators, faculty, staff, and students online at www.utdallas.edu/oiec and in University publications. Periodic notices will be sent to University administrators, faculty, staff and students about the University's Sexual Harassment/Sexual Misconduct Policy. The notice will include information about sexual misconduct, including the complaint procedure, and about University disciplinary policies and available resources, such as support services, health, and mental health services. The notice will specify the right to file a complaint under this Policy and with law enforcement and will refer individuals to designated offices or officials for additional information.

8.2 Ongoing Sexual Misconduct Training. The University's commitment to raising awareness of the dangers of sexual misconduct includes offering ongoing education through annual training and lectures by faculty, staff, mental health professionals, and/or trained University personnel. The University will periodically educate and train employees and supervisors regarding the Policy and conduct that could constitute a violation of the Policy. Preventive education and training programs will be provided to University administrators, faculty, staff, and students and will include information about risk reduction, including bystander intervention. Training on sexual harassment and sexual violence policy and procedures will be provided to law enforcement personnel, including training on their obligation to advise University administrators, faculty, staff, and students of their rights to file a complaint under this Policy and their right to file a criminal complaint.

8.3 Training of Coordinators, Investigators, Hearing and Appellate Authorities. All Title IX Coordinators, Deputy Coordinators, Investigators, and those with authority over sexual misconduct hearings and appeals shall receive training each academic year about offenses, investigatory procedures, due process, and University policies related to sexual misconduct.

Sec. 9. Additional Conduct Violations.

9.1 Retaliation. Any administrator, faculty member, student or employee who knowingly and intentionally retaliates in any way against an individual who has brought a complaint under this Policy, participated in an investigation or disciplinary process of such a complaint, or opposed any unlawful practice, is subject to disciplinary action up to and including dismissal or separation from the University.

9.2 False Complaints. Any person who knowingly and intentionally files a false complaint under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. A finding of non-responsibility does not indicate a report was false.

9.3 Interference with an Investigation. Any person who knowingly and intentionally interferes with an ongoing investigation conducted under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. Interference with an ongoing investigation may include, but is not limited to:

- (a) Attempting to coerce, compel, or prevent an individual from providing testimony or relevant information;
- (b) Removing, destroying, or altering documentation relevant to the investigation; or
- (c) Providing false or misleading information to the investigator, or encouraging others to do so.

9.4 No Effect on Pending Personnel or Academic Actions Unrelated to the Complaint. The filing of a complaint under this Policy will not stop or delay any action unrelated to the complaint, including: (1) any evaluation or disciplinary action relating to a complainant who is not performing up to acceptable standards or who has violated University rules or policies; (2) any evaluation or grading of students participating in a class, or the ability of a student to add/drop a class, change academic programs, or receive financial reimbursement for a class; or (3) any job-related functions of a University employee. Nothing in this section shall limit the University's ability to take interim action.

Sec. 10 Documentation.

The University shall confidentially maintain information related to complaints under this Policy, as required by law. The Title IX Coordinator will document each complaint or request for assistance under this Policy, whether made by a victim, a third party, or anonymously, and will review and retain copies of all reports generated as a result of investigations. These records will be kept confidential to the extent permitted by law. Any person who knowingly and intentionally makes an unauthorized disclosure of confidential information contained in a complaint or otherwise related to the investigation of a complaint under this Policy is subject to disciplinary action.

Sec. 11 Annual Reporting and Notice.

The University's Title IX General Policy Statement will be made available to all students, faculty, and employees online, in required publications and in specified departments. On an annual

basis, and upon any updates to this Policy, the University will send notice of its compliance with Title IX as required by law. The annual notice shall designate the Title IX Coordinator and Deputy Coordinators, explain which offenses are prohibited and where to report violations of this Policy, provide information regarding victim resources, and provide a link to this Policy and other related University websites.

Definitions and Examples³

Consent – A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) intimidation, (d) coercion, (e) incapacitation or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to have sexual activity.

A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity.

The definition of consent for the crime of sexual assault in Texas can be found in Section 22.011(b) of the Texas Penal Code.⁴

³ The definitions provided in the main body of the text are the definitions adopted by the University. When applicable, we have included the state law definition. In any criminal action brought by law enforcement, the state law definition will apply.

⁴ Texas Penal Code, Section 22.011(b) states that a sexual assault is without consent if: (1) the actor compels the other person to submit or participate by the use of physical force or violence; (2) the actor compels the other person to submit or participate by threatening to use force or violence against the other person, and the other person believes that the actor has the present ability to execute the threat; (3) the other person has not consented and the actor knows the other person is unconscious or physically unable to resist; (4) the actor knows that as a result of mental disease or defect the other person is at the time of the sexual assault incapable either of appraising the nature of the act or of resisting it; (5) the other person has not consented and the actor knows the other person is unaware that the sexual assault is occurring; (6) the actor has intentionally impaired the other person's power to appraise or control the other person's conduct by administering any substance without the other person's knowledge; (7) the actor compels the other person to submit or participate by threatening to use force or violence against any person, and the other person believes that the actor has the ability to execute the threat.

Dating Violence⁵ – Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.

The existence of such a relationship shall be determined by the victim with consideration of the following factors:

- (a) The length of the relationship;
- (b) The type of relationship; and
- (c) The frequency of interaction between the persons involved in the relationship

Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include acts covered under the definition of domestic violence.

Domestic (Family) Violence⁶ – includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with

⁵ Dating Violence is defined by the Texas Family Code, Section 71.0021 as:

- (a) an act, other than a defensive measure to protect oneself, by an actor that:
 - (1) is committed against a victim:
 - (A) with whom the actor has or has had a dating relationship; or
 - (B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and
 - (2) is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or sexual assault.
- (b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:
 - (1) the length of the relationship;
 - (2) the nature of the relationship; and
 - (3) the frequency and type of interaction between the persons involved in the relationship
- (c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b).

Texas Penal Code, Section 22.01 provides the criminal penalties associated with Dating Violence.

⁶ Family Violence is defined by the Texas Family Code Section 71.004 as:

- (1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or sexual assault, but does not include defensive measures to protect oneself;
- (2) abuse, as that term is defined by Sections [261.001\(1\)\(C\)](#), (E), and (G), by a member of a family or household toward a child of the family or household; or
- (3) dating violence, as that term is defined by Section [71.0021](#)

whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.

Hostile Environment – exists when sex-based harassment is sufficiently severe or pervasive to deny or limit the individual's ability to participate in or benefit from the University's programs or activities or an employee's terms and conditions of employment. A hostile environment can be created by anyone involved in a University's program or activity (e.g., administrators, faculty members, employees, students, and University visitors).

In determining whether sex-based harassment has created a hostile environment, the University considers the conduct in question from both a subjective and objective perspective. It will be necessary, but not adequate, that the conduct was unwelcome to the individual who was harassed. To conclude that conduct created or contributed to a hostile environment, the University must also find that a reasonable person in the individual's position would have perceived the conduct as undesirable or offensive.

To ultimately determine whether a hostile environment exists for an individual or individuals, the University considers a variety of factors related to the severity, persistence, or pervasiveness of the sex-based harassment, including:

- the type, frequency, and duration of the conduct
- the identity and relationships of the persons involved
- the number of individuals involved
- the location of the conduct and the context in which it occurred
- the degree to which the conduct affected an individual's education or employment

The more severe the sex-based harassment, the less need there is to show a repetitive series of incidents to find a hostile environment. Indeed, a single instance of sexual assault may be sufficient to create a hostile environment. Likewise, a series of incidents may be sufficient even if the sex-based harassment is not particularly severe.

First Amendment Considerations: this Policy does not impair the exercise of rights protected under the First Amendment. The University's sexual misconduct policy prohibits only sex-based harassment that creates a hostile environment. In this and other ways, the University applies and enforces this Policy in a manner that respects the First Amendment rights of students, faculty, and others.

Texas Penal Code Section 22.01 provides the criminal penalties associated with Domestic (Family) Violence.

Incapacitation – A state of being that prevents an individual from having the capacity to give consent. For example, incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability.

Intimidation – Unlawfully placing another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.

Other Inappropriate Sexual Conduct – Includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature directed towards another individual that does not rise to the level of sexual harassment but is unprofessional, inappropriate for the workplace or classroom and is not protected speech. It also includes consensual sexual conduct that is unprofessional and inappropriate for the workplace or classroom.

Preponderance of the Evidence – The greater weight of the credible evidence. Preponderance of the evidence is the standard for determining allegations of sexual misconduct under this Policy. This standard is satisfied if the action is deemed more likely to have occurred than not.

Responsible Employee – A University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.2. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees.

Retaliation – Any adverse action threatened or taken against someone *because* the individual has filed, supported, provided information in connection with a complaint of sexual misconduct or engaged in other legally protected activities. Retaliation includes, but is not limited to, intimidation, threats or harassment against any complainant, witness or third party.

Sexual Assault⁷ – An offense that meets the definition of rape, fondling, incest, or statutory rape:

- (a) *Rape*: the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- (b) *Fondling*: The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.
- (c) *Incest*: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- (d) *Statutory Rape*: Sexual intercourse with a person who is under the statutory age of consent.

Sexual Exploitation – Occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit, or to benefit anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material by email, text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity, letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.

Sexual Harassment– Unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when submission to such conduct is made either explicitly or implicitly a term or condition of a person's student status, employment, or participation in University activities; such conduct is sufficiently severe or pervasive that it interferes with an individual's education, employment, or participation in University activities, or creates an objectively hostile environment; or such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's education, employment, or participation in

⁷ Sexual Assault is defined by Texas Penal Code, Section 22.011 as intentionally or knowingly:

- a) Causing the penetration of the anus or sexual organ of another person by any means, without that person's consent; or
- b) Causing the penetration of the mouth of another person by the sexual organ of the actor, without that person's consent; or
- c) Causing the sexual organ of another person, without that person's consent, to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor.

University activities, or creating an intimidating, hostile, or offensive environment. Sexual harassment is a form of sex discrimination that includes:

- (a) Sexual violence, sexual assault, stalking, domestic violence and dating violence as defined herein.
- (b) Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - unwelcome intentional touching; or
 - deliberate physical interference with or restriction of movement
- (c) Verbal conduct not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic idea, including oral, written, or symbolic expression, including but not limited to:
 - explicit or implicit propositions to engage in sexual activity;
 - gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;
 - gratuitous remarks about sexual activities or speculation about sexual experiences;
 - persistent, unwanted sexual or romantic attention;
 - subtle or overt pressure for sexual favors;
 - exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars or other materials; or
 - deliberate, repeated humiliation or intimidation based upon sex

Sexual Misconduct – A broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual assault, sexual exploitation, sexual intimidation, sexual harassment, domestic violence, dating violence, and stalking. Sexual misconduct can be committed by men or women, strangers or acquaintances, and can occur between or among people of the same or opposite sex.

Sexual Violence – Physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

Stalking⁸ – Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition:

- (a) *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property.
- (b) *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
- (c) *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

⁸ Stalking as defined by Texas Penal Code, Section 42.072 is when an individual on more than one occasion and pursuant to the same scheme or course of conduct that is directed specifically at another person, knowingly engages in conduct that:

- a) is considered harassment, or that the actor knows or reasonably should know the other person will regard as threatening:
 - i. bodily injury or death for the other person;
 - ii. bodily injury or death for a member of the other person's family or household or for an individual with whom the other person has a dating relationship; or
 - iii. that an offense will be committed against the other person's property;
- b) causes the other person, a member of the other person's family or household, or an individual with whom the other person has a dating relationship to be placed in fear of bodily injury or death or in fear that an offense will be committed against the other person's property, or to feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended; and
- c) would cause a reasonable person to:
 - i. fear bodily injury or death for himself or herself;
 - ii. fear bodily injury or death for a member of the person's family or household or for an individual with whom the person has a dating relationship;
 - iii. fear that an offense will be committed against the person's property; or
 - iv. feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended

APPENDIX A.

Relevant Federal and State Statutes, and Standards

- [Title IX of the Education Amendments of 1972, 20 U.S.C. §§ 1681–1688 and its implementing regulations, 34 C.F.R. Part 106](#)
- [Title VII of the Civil Rights Act of 1964, 42 U.S.C. §§2000e–2000e-17 and its implementing regulations 29 C.F.R. §1604 11.](#)
- [Clery Act, 20 U.S.C 1092\(f\) and its implementing regulations](#) 34 C.F.R. Part 668
- [FERPA Regulations, 34 C.F.R. Part 99](#)

Other Relevant Policies, Procedures, and Forms

- [Regents' Rules and Regulations, Rule 30105, Sexual Harassment, Sexual Misconduct, and Consensual Relationships](#)
- [UT System Administration System wide Policy \(UTS 184\), Consensual Relationships](#)
- [University's Sex Discrimination Policy](#)
- [Regents' Rules and Regulations, Rule 31008, Termination of a Faculty Member](#)
- [Student Code of Conduct](#)
- [Non-Discrimination Policy](#)
- [Discipline Dismissal and Grievances](#)

System Administration Office(s) Responsible for Policy

- Office of General Counsel

Dates Approved or Amended

- April 6, 2015
- February 21, 2012

Contact Information


- Questions or comments about this Policy should be directed to: Title IX Coordinator 972-883-2292 (AVP Institutional Equity and Compliance and Title IX Coordinator), to report an incident of sexual misconduct, harassment or sexual violence.

Victim Resources

1. Immediate Assistance :
 - UT Dallas Police - <http://utdallas.edu/police>
 - Dean of Students - 972-883-6391, To report an incident of sexual misconduct, harassment or sexual violence
 - Student Counseling Center, During normal business hours: 972-883-2575, After hours: 972-UTD-TALK (972-883-8255), to make a confidential report of sexual misconduct
Individual and group counseling

- Student Health Center 972-883-2747, to report an incident of sexual misconduct, Educational and prevention information, Testing for sexually transmitted diseases after an assault
 - Women's Center -972-883-6555
 - Student Wellness Center 972-883-4275, Education and prevention information
 - Residential Life- 972-883-5361, To report an incident of sexual misconduct, Peer Adviser training on issues related to sexual assault, On-site educational programs, Individual and groups support follow-up
2. Other resources are available:
- Rape, Abuse & Incest National Network (RAINN) –<https://www.rainn.org/public-policy/campus-safety>
 - Dallas Area Rape Crisis Center – <http://www.dallasrapecrisis.org/what-we-do/get-info/effects-of-sexual-assault/>
 - IGNITE Texas- www.ignitetx.org
3. Dallas Area Resources:
- Dallas Area Rape Crisis - 972-641-7273, 24 hour hotline
 - The Turning Point - 800-886-RAPE, 24 hour hotline in Collin County
 - Brighter Tomorrows- 972-262-8383, Survivors of domestic and sexual violence
 - Chetna- 866-410-5565, Domestic violence (Asian community)
 - Texas Department of Family and Protective Services - 800-252-5400, Elderly, child, and disabled adult abuse
 - Genesis Counseling Associates- 214-350-2223
4. Domestic violence:
- Genesis Women's' Shelter & Support, 214-946-HELP, Domestic violence
 - Hope's Door - 972-422-7233, Domestic violence
 - The Hotline - 800-799-7233, 24 hour hotline

APPENDIX B.



OFFICE OF INSTITUTIONAL EQUITY & COMPLIANCE INCIDENT REPORT FORM

The Office of Institutional Equity and Compliance handles student, employee, and visitor reports of discrimination and harassment based on age, color, disability, genetic information, national origin, race, religion, sex (including pregnancy) veteran status, sexual orientation, gender identity and gender expression. This includes reports of sexual misconduct, including sexual harassment and sexual violence. Our office also handles reports of relationship violence and stalking.

Once you submit this form, you may be contacted by someone from the Office of Institutional Equity and Compliance (OIEC) if additional information is needed. Regardless of the nature of your report, the University will ensure that your report is forwarded to the office with responsibility for investigating and addressing, as appropriate, based on the information you have provided.

**IF THERE IS IMMEDIATE RISK TO LIFE, SAFETY, OR PROPERTY, PLEASE CALL 911
or you may call CAMPUS POLICE AT (972)883-2222**

CONTACT INFORMATION Today's Date _____

Your Name: _____

Faculty Staff Student Other (Please Explain): _____

Employee or Student ID# (if applicable): _____ Preferred Method of Contact: Phone Email

Preferred Phone#: _____ Preferred Email: _____

Home Address: _____

Campus Address: _____

Department Name (Employees only): _____

PERSONS INVOLVED

Please use this section to list the names of the parties involved as well as any witnesses, etc. Enter as much information as possible. If you have included your name above, it is not necessary to add it to this section.

Name of Person or Organization	Role	Email/Phone#

REPORT DETAILS

Nature of this Report (check all that apply):

Discrimination Retaliation Other: _____

Harassment Sexual Misconduct,
(including Sexual Harassment and Sexual Violence)

Relationship Violence Stalking

v. 2.7.15

Do you feel this happened because of (check all that apply):

<input type="checkbox"/> Age	<input type="checkbox"/> National Origin	<input type="checkbox"/> Color
<input type="checkbox"/> Race	<input type="checkbox"/> Religion	<input type="checkbox"/> Sex (including pregnancy)
<input type="checkbox"/> Disability	<input type="checkbox"/> Sexual Orientation	<input type="checkbox"/> Veteran Status
<input type="checkbox"/> Gender Identity	<input type="checkbox"/> Gender Expression	<input type="checkbox"/> Genetic Information
<input type="checkbox"/> Other	<input type="checkbox"/> Not Applicable	

Comment: _____

INCIDENT DETAILS

Date of incident: _____ Time of incident: _____

Specific Location of incident: _____

Have you notified anyone else or any other campus or non-campus unit about this incident? If yes, who did you notify:

Please provide as much detail as you are comfortable with concerning the incident. This narrative will be reviewed by the appropriate staff member at the Office of Institutional Equity and Compliance:

STATEMENTS OF NON-RETALIATION AND CONFIDENTIALITY

The University's Policy on Retaliation prohibits retaliation against an individual who in good faith files a report and/or participates in any investigation related to an allegation of prohibited harassment or discrimination. I understand that this Incident Report form, any correspondence, and all discussions pertaining to this complaint process are confidential to the extent permitted by law. By typing my initials below, I agree to abide by these guidelines.

Initial Here: _____ **Date:** _____

For further information, you may contact the UT Dallas Title IX Coordinator at TitleIXCoordinator@utdallas.edu or 972-883-2218.

v. 2.7.15

Section VI. Equal Opportunity

Chapter 3. Sexual Harassment and Sexual Misconduct

3.1 General Policy Statement.

3.1.1. The University of Texas at El Paso ("University") is committed to maintaining a learning and working environment that is free from discrimination based on sex in accordance with Title IX of the Higher Education Amendments of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act). Sexual misconduct is a form of sex discrimination and will not be tolerated. As stated in the definition, sexual misconduct includes sexual harassment, sexual violence, sexual assault, stalking, domestic violence and/or dating violence. Individuals who engage in sexual misconduct and other inappropriate sexual conduct will be subject to disciplinary action.

3.1.2. The University will take prompt disciplinary action against any individuals or organizations within its control who violate this Policy. The University encourages any student, faculty, staff or visitor to promptly report violations of this Policy to an individual identified in Section 3.3.2.

3.2 Applicability.

This Policy applies to all University administrators, faculty, staff, students, and third parties within the University's control, including visitors and applicants for employment. It applies to conduct regardless of where it occurs, including off University property, if it potentially affects the complainant's education or employment with the University. It also applies regardless of the gender, gender identity or sexual orientation of the complainant or the respondent. In addition, it applies whether the complaint was made by or against a third party, and whether the complaint was made verbally or in writing.

3.3 Filing a Complaint and Reporting Violations.

3.3.1 All Members of the University Community, Third Party and Anonymous Complaints. All administrators, faculty, staff, students, and third parties are strongly encouraged to immediately report any incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct to the Title IX Coordinator or Deputy Coordinators.

- a. Anonymity. Individuals wishing to remain anonymous can file a complaint in any manner, including by telephone or written communication with the Title IX Coordinator or a Deputy Coordinator; however, electing to remain anonymous may greatly limit the University's ability to stop the harassment, collect evidence, or take effective action against individuals or organizations accused of violating the Policy.
- b. Confidentiality. The University has an obligation to maintain an environment free of sex discrimination, thus many University employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in strict confidence may use the resources outlined in Section 3.3.5.

- c. **Timeliness of Complaint.** Complaints should be reported as soon as possible after the complainant becomes aware of the inappropriate conduct. Delays in reporting can greatly limit the University's ability to stop the harassment, collect evidence, and/or take effective action against individuals or organizations accused of violating the Policy.

3.3.2 Responsible Employees.

Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees. A Responsible Employee is a University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or Deputy Coordinators or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.3.5.¹ Responsible Employees can find contact information for the Title IX Coordinator and Deputy Coordinators at the [Title IX website www.utep.edu/eoaa](http://www.utep.edu/eoaa)

3.3.3 Reporting to Law Enforcement.

Complaints of sexual misconduct may also be made to The University of Texas at El Paso Police Department at 915.747.5611 (emergency and non-emergency), to the City of El Paso Police Department at 915.832.4400 (non-emergency) or 911 (emergency), or to other local law enforcement authorities. The Title IX Deputy Coordinators can help individuals contact these law enforcement agencies. Employees and students with protective or restraining orders relevant to a complaint are encouraged to provide a copy to the University Police Department.

If a complaint of sexual misconduct is reported to the University Police Department, it shall advise the complainant of his or her right to file a complaint under this Policy. To the extent allowed by law and University policy, the University Police Department shall also notify the Title IX Coordinator and Deputy Coordinators of the complaint, and provide the Title IX Coordinator and Deputy Coordinators or the individual investigating the complaint access to any related University law enforcement records, so long as doing so does not compromise any criminal investigation.

3.3.4 Reporting to Outside Entities.

An individual wishing to make a complaint may also contact the U.S. Department of Education, Office for Civil Rights (OCR) to complain of sex discrimination or sexual misconduct including sexual violence:

Office for Civil Rights
U.S. Department of Education
1999 Bryan Street, Suite 1620
Dallas, TX 75201-6810

¹ For example, a student may make a complaint to an employee in the Dean of Students' Office, a faculty member or university police. Each of these individuals is considered a Responsible Employee and accordingly each is obligated to report the complaint to the Title IX Coordinator or other appropriate designee.

Telephone: (214) 661-9600

Facsimile: (214) 661-9587

Employees may also contact the U.S. Equal Employment Opportunity Commission to complain of sex discrimination or sexual harassment:

U.S. Equal Employment Opportunity Commission

Dallas District Office

207 S. Houston Street, 3rd Floor

Dallas, TX 75202

Phone: 800.669.4000

FAX: 214.253.2720

3.3.5 Confidential Support and Resources.

Physical and mental health care professionals and pastoral counselors (including those who act in that role under the supervision of these individuals), are prohibited by confidentiality laws from reporting any information about an incident to anyone, in any way that identifies the victim, without the victim's permission. Thus, students may discuss an incident with a counselor in Counseling and Psychological Services, a health care provider in Health Services, the clergyperson of the student's choice, or an off-campus resource (i.e. rape crisis center, doctor, psychologist, etc.) without concern that the incident will be reported to the Title IX Coordinator. Employees may also seek assistance from the Employee Assistance Program, their own personal health care provider, the clergyperson of the employee's choice, or an off-campus rape crisis resource without concern that the incident will be reported to the Title IX Coordinator. The University and community resources that provide such services are:

UTEP University Counseling Center

Union West 202

<http://sa.utep.edu/counsel>

915.747.5302

UTEP Student Health Center

Union East 100

<http://chs.utep.edu/health>

915.747.5624

UTEP Employee Assistance Program

Deer Oaks

24 hours a day, 7 days a week

1.866.327.2400

3.3.6 Immunity.

In an effort to encourage reporting of sexual misconduct, the University may grant immunity from student disciplinary action to a person who voluntarily initiates a report of sexual misconduct or assists a complainant, if that person acts in good faith in reporting a complaint or participating in an investigation. This immunity does not extend to the person's own violations of this Policy.

3.3.7 Title IX Coordinator and Deputy Coordinators.

The Title IX Coordinator and Deputy Coordinators are:

Sandy Vasquez
Title IX Coordinator (Investigation of concerns related to Faculty and Staff)
Assistant Vice President for Equal Opportunity and Compliance Services
Ethics Officer
Kelly Hall, Room 302
915.747.5662
Email: svasquez@utep.edu

Dr. Ryan C. Holmes
Deputy Title IX Coordinator (Investigation of concerns related to Students)
Assistant Vice President for Student Support
Union East Room 303
915.747.8694
Email: rholmes@utep.edu

Dr. Catie McCorry-Andalis
Deputy Title IX Coordinator (Education, Training and Outreach)
Associate Vice President and Dean of Students
Union West 102
915.747.5648
Email: cmandalis@utep.edu

3.4. Parties' Rights Regarding Confidentiality.

The University has great respect for the privacy of the parties in a complaint. Under federal law, however, Responsible Employees who receive a report of sexual misconduct must share that information with the Title IX Coordinator and/or a Deputy Coordinator. Those individuals may need to act to maintain campus safety and must determine whether to investigate further under Title IX, regardless of the complainant's request for confidentiality.

In the course of the investigation, the University may share information only as necessary with people who need to know to fulfill the purposes of this Policy and applicable law, such as investigators, witnesses, and the respondent. The University will take all reasonable steps to ensure there is no retaliation against a complainant. The University will comply with the Family Educational Rights and Privacy Act (FERPA), with Texas Education Code Sec. 51.971 and other confidentiality laws as they apply to Title IX investigations. To the extent possible, the University will also protect the privacy of all parties to a report of sexual misconduct.

3.5. Victim Resources.

3.5.1 Immediate Assistance.

Health Care:
UTEP Student Health Center
Union East Ste. 100
915.747.5624

Sierra Medical Center Emergency
1625 Sierra Medical Drive
915.747.4000

*Sierra Medical Center is the only hospital in El Paso County that performs sexual assault examinations.

Police:
UTEP Police Department
3118 Sun Bowl Drive
<http://admin.utep.edu/police>
915.747.5611
911 Emergency

El Paso Police Department
Crimes Against Persons
915.212.4000
Counseling:
Center Against Sexual and Family Violence
710 North Campbell Street
24/7 Crisis Hope Line
915.593.7300
800.727.0511

La Pinon Sexual Assault Recovery Services of Southern New Mexico
1.888.595.7273

Casa Amiga
Ciudad Juarez, Chihuahua Mexico
011656.6.90.83.00 or 011656.6.90.83.01

Ft. Bliss-Family Advocacy Program
915.568.9129
Domestic Violence Hotline (24/7)
915.269.2013

Sexual Assault Hotline
915.245.8991

National Domestic Violence Hotline
24 hours a day, 7 days a week
1.800.799.7233 (TTY)

National Sexual Assault Hotline
1.800.656.4673 (National)

3.5.1.1 Healthcare.

An individual who experiences any form of sexual, domestic, or dating violence is encouraged to seek immediate medical care. Also, preserving DNA evidence can be key to identifying the perpetrator in a sexual violence case. Victims can undergo a

medical exam to preserve physical evidence with or without police involvement. If possible, this should be done immediately. If an immediate medical exam is not possible, individuals who have experienced a sexual assault may have a Sexual Assault Forensic Exam (SAFE) performed by a Sexual Assault Nurse Examiner (SANE) within 4 days of the incident. With the examinee's consent, the physical evidence collected during this medical exam can be used in a criminal investigation; however, a person may undergo a SAFE even without contacting, or intending to contact, the police. To undergo a SAFE, go directly to the emergency department of Sierra Medical Center located at 1625 Sierra Medical Drive, 915.747.4000 or the nearest hospital that provides SAFE services. Sierra Medical Center is the only hospital in El Paso County that performs sexual assault examinations.

For more information about the SAFE, see <http://hopelaws.org/> or <https://www.texasattorneygeneral.gov/victims/sapcs.shtml#survivors>. The cost of the forensic portion of the exam is covered by the law enforcement agency that is investigating the assault or, in cases where a report will not be made to the police, the Texas Department of Public Safety. This does not include fees related to medical treatment that are not a part of the SAFE.

3.5.1.2 Police Assistance.

The University encourages individuals who have experienced sexual misconduct to make a report to the police. It is important to note that a police department's geographic jurisdiction depends on where the sexual misconduct occurred. If the incident occurred on the University campus, a report may be filed with the UTEP Police Department by calling 915.747.5611 or in person at UTEP Police Department headquarters at 3118 Sun Bowl Drive (the building is located in the University's Facilities Services Complex), even if time has passed since the assault occurred.

UTEP Police Department can also assist with filing any protective orders. Reporting an assault to law enforcement does not mean that the case will automatically go to criminal trial or to a University disciplinary hearing. If the University police are called, a uniformed officer will be sent to the scene to take a detailed statement. A ride to the hospital may be provided by a police department counselor. A report may be filed with the University police even if the assailant was not a University student or employee. If the incident occurred in the City of El Paso, but off campus, a report may be filed with the El Paso Police Department, even if time has passed since the assault occurred. If a report is made to the police, a uniformed officer will usually be dispatched to the location to take a written report.

3.5.1.3 Counseling and Other Services.

A person who has experienced sexual violence is strongly encouraged to seek medical and psychological care even if he or she does not plan to request a SAFE or report the assault to the police. He or she may be prescribed medications to prevent sexually transmitted infections and/or pregnancy even if the police are not contacted or if a SAFE is not performed.

Medical care can be provided at Student Health Services (for students only), at a local emergency room, or by a private physician. Psychological support can be provided by the University Counseling Center (students), Employee Assistance Program (employees), or a care provider of the individual's choosing.

Students desiring counseling should contact:
UTEP University Counseling Center
Union West 202
<http://sa.utep.edu/counsel>
915.747.5302

Faculty and staff should contact:
UTEP Employee Assistance Program
Deer Oaks
24 hours a day, 7 days a week
1.866.327.2400]

3.5.2 Interim Measures and Ongoing Assistance.

In addition to the services provided by on- and off-campus providers, the University will take immediate and interim measures to assure the safety and well-being of the complainant, to maintain an environment free from harassment, discrimination or retaliation, and to protect the safety and well-being of community members.

For example, if the accused is an employee, interim action may include reassignment and suspension. If the accused is a student, interim action may include suspension, no contact orders, changing living arrangements, modifying the course schedule, or modifying other aspects of the educational environment. Interim action may also include allowing the complainant to move to a new residence hall, change work schedules, alter academic schedules, and withdraw from or retake a class without penalty. Moreover, the University may be able to provide additional accommodations for a complainant while an investigation is pending.

3.6 Intake Procedures and Protocol.

3.6.1 Key Officials in an Investigation.

3.6.1.1 Title IX Coordinator.

The Title IX Coordinator is the senior University administrator who oversees the University's compliance with Title IX. The Title IX Coordinator is responsible for leading the administrative investigation of reports of sexual misconduct and is available to discuss options, provide support, explain University policies and procedures, and provide education on relevant issues. The Title IX Coordinator may designate one or more Deputy Title IX Coordinators.

Any member of the University community may contact the Title IX Coordinator with questions.

3.6.1.2 Investigators.

The Title IX Coordinator will ensure that complaints are properly investigated under this Policy. The Title IX Coordinator will also ensure that investigators are properly trained at least annually to conduct investigations that occur under this Policy. The Title IX Deputy Coordinators shall supervise and advise the Title IX investigators when conducting investigations and update the Title IX Coordinator as necessary.

3.6.2 Assessment of Complaint.

The Title IX Coordinator or other appropriate designee will conduct a preliminary assessment of the complaint and determine whether a formal resolution or an informal resolution should occur. Informal resolution may be appropriate:

- a. With a complaint solely of sexual harassment, not including sexual violence as defined in this Policy; and
- b. When both parties are categorically similar (i.e. employee/employee or student/student).

3.6.3 Notification of University Offices Offering Assistance.

After receiving a complaint, the Title IX Coordinator or Deputy Coordinator shall direct the complainant to the Dean of Students for students, or the Equal Opportunity Office for employees, to inform the complainant of available resources and assistance. While taking into consideration requested confidentiality, the Dean of Students for students and the Equal Opportunity Office may serve as a liaison between the complainant and the Title IX Coordinator during the investigation.

3.6.4 Informal Resolution of Certain Sexual Harassment Complaints.

A complainant may use this option instead of or before filing a formal complaint, but is not required to do so. Also, this option is not permitted for sexual violence cases. Anyone who believes that he or she has been subject to sexual misconduct may immediately file a formal complaint as described in Section 3.3 of this Policy. An individual wishing to use the informal resolution process should contact the Title IX Coordinator.

3.6.4.1 Informal Assistance.

In certain sexual harassment complaints, an individual may not wish to file a formal complaint. If informal assistance is deemed appropriate by the Title IX Coordinator or other appropriate designee, then the individual will be provided assistance with informally resolving the alleged sexual harassment. Assistance may include providing the complainant with strategies for communicating with the offending party that his or her behavior is unwelcomed and should cease, directing a University official to inform the offending party to stop the unwelcomed conduct, or initiating mediation. However, the University may take more formal action, including disciplinary action, to ensure an environment free of sexual harassment or sexual misconduct.

3.6.4.2 Timeframe.

Informal resolutions should be completed no later than 10 business days after the Title IX Coordinator receives the request for informal resolution.

3.6.4.3 Confidentiality and Documentation.

The University will document and record informal resolutions. The Title IX Coordinator or Deputy Title IX Coordinator will retain the documentation. If the individual's wish is to

remain anonymous, this may limit the University's ability to establish facts and eliminate the potential harassment. The University will attempt to find the right balance between the individual's desire for privacy and confidentiality and its responsibility to provide an environment free of sexual harassment.

3.6.5 Formal Complaint and Investigation.

3.6.5.1 Formal Complaint.

To begin the investigation process, the complainant should submit a signed, written statement setting out the details of the conduct that is the subject of the complaint, including the complainant's name, signature, and contact information; the name of the person directly responsible for the alleged violation; a detailed description of the conduct or event that is the basis of the alleged violation; the date(s) and location(s) of the occurrence(s); the names of any witnesses to the occurrence(s); the resolution sought; and any documents or information that is relevant to the complaint. The University may initiate an investigation regardless of the manner in which a complaint is received or whether a complaint is received at all. However, the complainant is strongly encouraged to file a written complaint. If the complaint is not in writing, the investigator should prepare a statement of what he or she understands the complaint to be and ask the complainant to verify that statement. The University office receiving the complaint should refer the complaint to the Title IX Coordinator or Deputy Title IX Coordinator.

3.6.5.2 Investigation.

- a. An investigator will be assigned to investigate the complaint..

As part of the investigation process, the respondent will be provided notice of the complaint and allowed ten (10) working days to respond in writing, unless unusual circumstances warrant additional time.

- b. The complainant and the respondent may present any document or information that is believed to be relevant to the complaint.
- c. Persons thought to have information relevant to the complaint will be interviewed, and those interviews will be appropriately documented. Both the respondent and the complainant may recommend witnesses for interview and suggest questions that should be asked. Neither the complainant nor the respondent will normally attend these interviews or the gathering of evidence; however, if either one is permitted to attend, the other shall have the same right.
- d. The investigation of a complaint will be concluded as soon as possible after receipt of the written complaint. In investigations exceeding 60 days, a justification for the delay will be presented to and reviewed by the Title IX Coordinator or his/her supervisor. The complainant, respondent, and supervisor should be provided updates on the progress of the investigation and issuance of the report.
- e. After the investigation is complete, a written report² will be issued to the Title IX Coordinator and the appropriate administrator. The appropriate

² Appropriate report redactions will be made to comply with Texas Education Code, Section 51.971.

administrator will depend on the status of the respondent (i.e., student, faculty or employee). The report shall include factual findings and a preliminary conclusion of whether a policy violation occurred (based on a “preponderance of the evidence” standard).

- f. After the written report is completed, the complainant and respondent will be allowed to inspect the report or, at the University’s discretion, provided letters summarizing the findings in the report in keeping with FERPA and Texas Education Code, Section 51.971. If a letter is provided, it will contain enough detail to allow the complainant and respondent to comment on the adequacy of the investigation. Each will have 7 business days from the date of receipt (as indicated on the return receipt) to submit written comments regarding the investigation to the Title IX Coordinator.
- g. Within 7 business days after the deadline for receipt of comments from the complainant and respondent, the Title IX Coordinator or his or her designee will: (1) request further investigation into the complaint; (2) dismiss the complaint if it is determined that no violation of policy or inappropriate conduct occurred; or (3) find that the Policy was violated. A decision that the Policy was violated shall be based on the record.
- h. If the Title IX Coordinator or his or her designee determines that the Policy was violated, he or she will refer the matter for disciplinary action under the applicable disciplinary policies and procedures, which depend on the status of the respondent (i.e., student, faculty or employee).
- i. The complainant and the respondent shall be informed concurrently in writing of the decision in accordance with section 3.6.5.2.g of this Policy.
- j. The appropriate administrator will impose disciplinary action or sanction(s) in accordance with the applicable policies and procedures dependent on the status of the respondent (i.e., student, faculty or employee).

3.6.6 Standard of Proof.

All investigations under this Policy will use the preponderance of the evidence standard to determine violations of this Policy.

3.6.7 Timelines.

Barring any unforeseen and reasonable delays, the University will endeavor to resolve complaints under this Policy no later than 60 calendar days after the initial report was received by the Responsible Employee. If the investigation and resolution exceeds 60 calendar days, the University will notify all parties in writing of the reason for the delay and the expected time frame adjustment. Best efforts will be made to complete the process in a timely manner by balancing principles of thoroughness and fundamental fairness with promptness.

At the request of law enforcement, the University may defer its fact-gathering until after the initial stages of a criminal investigation. The University will nevertheless communicate with the complainant regarding his/her Title IX rights, procedural options, the status of the investigation, and the implementation of interim measures to ensure his/her safety and well-being. The

University will also communicate with the respondent regarding his/her Title IX rights, procedural options and information regarding the status of the investigation. The University will promptly resume its fact-gathering as soon as law enforcement has completed its initial investigation, or if the fact-gathering is not completed in a reasonable time.

The filing of a complaint under this Policy does not excuse the complainant from meeting time limits imposed by outside agencies. Likewise, the applicable civil or criminal statute of limitations will not affect the University's investigation of the complaint.

3.6.8 Remedies.

In addition to sanctions that may be imposed pursuant to the appropriate disciplinary policy, the University will take appropriate action(s), including but not limited to those below to resolve complaints of sexual misconduct, prevent any recurrence and, as appropriate, remedy any effects:

- a. Imposing sanctions against the respondent, including attending training, suspension, termination or expulsion;
- b. Ensuring the complainant and respondent do not share classes, working environments or extracurricular activities;
- c. Making modifications to the on campus living arrangements of the respondent or complainant (if the complainant requests to be moved);
- d. Providing comprehensive, holistic victim services including medical, counseling and academic support services, such as tutoring;
- e. Providing the complainant extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;
- f. Determining whether sexual misconduct adversely affected the complainant's University standing;
- g. Designating an individual specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist victims whenever needed;
- h. Conducting, in conjunction with University leaders, a University climate check to assess the effectiveness of efforts to ensure that the University is free from sexual misconduct, and using that information to inform future proactive steps that the University will take;
- i. Providing targeted training for a group of students if, for example, the sexual misconduct created a hostile environment in a residence hall, fraternity or sorority, or on an athletic team. Bystander intervention and sexual misconduct prevention programs may be appropriate;
- j. Issuing policy statements or taking other steps to clearly communicate that the University does not tolerate sexual misconduct and will respond to any incidents and to any individual who reports such incidents.

These remedies are separate from, and in addition to, any interim measures that may have been provided before the end of the University's investigation. If the complainant did not take advantage of a specific service (e.g., counseling) when offered as an interim measure, the complainant should still be offered, and is still entitled to, appropriate final remedies that may include services the complainant declined as an interim measure. A refusal at the interim stage does not mean the refused service or set of services should not be offered as a remedy.

3.6.9 Sanctions and Discipline.

Disciplinary action against faculty and employees will be handled under the University's policies for discipline and dismissal of faculty and employees. Disciplinary actions may include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, and dismissal. The Dean of Students or Assistant Vice President for Student Support will impose disciplinary action, if any, against a student under the University's student disciplinary procedures. Student disciplinary actions may include, but are not limited to, probation, suspension, or expulsion.

Discipline and Dismissal of Staff Employees, Section V, Chapter 6,
<http://admin.utep.edu/Default.aspx?tabid=30502>

Academic Policies and Faculty Personnel Matters, Section III, Chapter 4
<http://admin.utep.edu/Default.aspx?tabid=30381>

Student Conduct and Discipline, Section II, Chapter 1
<http://admin.utep.edu/Default.aspx?tabid=73922>

In accordance with federal law, when disciplinary action is commenced because of a violation of this Policy, the above policies will provide both parties equal opportunities in all aspects of the process including notices and advisor representation. Further, the standard of proof in determining the outcome will be the "preponderance of the evidence," as defined in this policy.

3.7. Provisions Applicable to the Investigation.

3.7.1 Assistance.

During the investigation process, a complainant or respondent may be assisted by an advisor, who may be an attorney; however, the advisor may not actively participate in a meeting or interview.

3.7.2 Time Limitations.

Time limitations in these procedures may be modified by the Title IX Coordinator or appropriate administrator on a written showing of good cause by the complainant, respondent, or the University.

3.7.3 Concurrent Criminal or Civil Proceedings.

The University will not wait for the outcome of a concurrent criminal or civil justice proceeding to take action. The University has an independent duty to investigate complaints of sexual misconduct. (Except as provided in Sec. 3.6.7).

3.7.4 Documentation. The University shall document complaints and their resolution and retain copies of all materials in accordance with state and federal records laws and University policy.

3.8. Dissemination of Policy and Educational Programs.

3.8.1 This Policy will be made available to all University administrators, faculty, staff, and students online at: <http://admin.utep.edu/Default.aspx?alias=admin.utep.edu/hoop> and in University publications. Periodic notices will be sent to University administrators, faculty, staff and students about the University's Sexual Harassment and Sexual Misconduct Policy. The notice will include information about sexual misconduct, including the complaint procedure, and about University disciplinary policies and available resources, such as support services, health, and mental health services. The notice will specify the right to file a complaint under this Policy and with law enforcement and will refer individuals to designated offices or officials for additional information.

3.8.2 Ongoing Sexual Misconduct Training.

The University's commitment to raising awareness of the dangers of sexual misconduct includes offering ongoing education through annual training and lectures by faculty, staff, mental health professionals, and/or trained University personnel. The University will periodically educate and train employees and supervisors regarding the Policy and conduct that could constitute a violation of the Policy. Preventive education and training programs will be provided to University administrators, faculty, staff, and students and will include information about risk reduction, including bystander intervention. Training on sexual harassment and sexual violence policy and procedures will be provided to law enforcement personnel, including training on their obligation to advise University administrators, faculty, staff, and students of their rights to file a complaint under this Policy and their right to file a criminal complaint. EO Office, <http://admin.utep.edu/Default.aspx?tabid=3685>

3.8.3 Training of Coordinators, Investigators, Hearing and Appellate Authorities.

All Title IX Coordinators, Deputy Coordinators, investigators, and those with authority over sexual misconduct hearings and appeals shall receive training each academic year about offenses, investigatory procedures, due process, and University policies related to sexual misconduct.

3.9. Additional Conduct Violations.

3.9.1 Retaliation.

Any administrator, faculty member, student or employee who knowingly and intentionally retaliates in any way against an individual who has brought a complaint under this Policy, participated in an investigation or disciplinary process of such a complaint, or opposed any unlawful practice, is subject to disciplinary action up to and including dismissal or separation from the University.

3.9.2 False Complaints.

Any person who knowingly and intentionally files a false complaint under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. A finding of non-responsibility does not by itself indicate that a report was false.

3.9.3 Interference with an Investigation.

Any person who knowingly and intentionally interferes with an ongoing investigation conducted under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. Interference with an ongoing investigation includes, but is not limited to:

- a. Attempting to coerce, compel, or prevent an individual from providing testimony or relevant information;
- b. Removing, destroying, or altering documentation relevant to the investigation; or
- c. Providing false or misleading information to the investigator, or encouraging others to do so.

3.9.4 No Effect on Pending Personnel or Academic Actions Unrelated to the Complaint.

The filing of a complaint under this Policy will not stop or delay any action unrelated to the complaint, including: (1) any evaluation or disciplinary action relating to a complainant who is not performing up to acceptable standards or who has violated University rules or policies; (2) any evaluation or grading of students participating in a class, or the ability of a student to add/drop a class, change academic programs, or receive financial reimbursement for a class; or (3) any job-related functions of a University employee. Nothing in this section shall limit the University's ability to take interim action.

3.10 Documentation.

The University shall confidentially maintain information related to complaints under this Policy, as required by law. The Title IX Coordinator or other appropriate designee will document each complaint or request for assistance under this Policy, whether made by a victim, a third party, or anonymously, and will review and retain copies of all reports generated as a result of investigations. These records will be kept confidential to the extent permitted by law. Any person who knowingly and intentionally makes an unauthorized disclosure of confidential information contained in a complaint or otherwise related to the investigation of a complaint under this Policy is subject to disciplinary action.

3.11 Annual Reporting and Notice.

The University's Title IX General Policy Statement will be made available to all students, faculty, and employees online, in required publications and in specified departments. On an annual basis, and upon any updates to this Policy, the University will send notice of its compliance with Title IX as required by law. The annual notice shall designate the Title IX Coordinator and Deputy Coordinators, explain which offenses are prohibited and where to report violations of this Policy, provide information regarding victim resources, and provide a link to this Policy and other related University websites.

3.12. Definitions and Examples³

3.12.1. Consent – A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual

³ The definitions provided in the main body of the text are the definitions adopted by the University. When applicable, we have included the state law definition. In any criminal action brought by law enforcement, the state law definition will apply.

activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) intimidation, (d) coercion, (e) incapacitation or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to have sexual activity.

A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity.

The definition of consent for the crime of sexual assault in Texas can be found in Section 22.011(b) of the Texas Penal Code.⁴

3.12.2 Dating Violence⁵ – Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.

The existence of such a relationship shall be determined by the victim with consideration of the following factors:

- a. The length of the relationship;
- b. The type of relationship; and
- c. The frequency of interaction between the persons involved in the relationship

⁴ Texas Penal Code, Section 22.011(b) states that a sexual assault is without consent if: (1) the actor compels the other person to submit or participate by the use of physical force or violence; (2) the actor compels the other person to submit or participate by threatening to use force or violence against the other person, and the other person believes that the actor has the present ability to execute the threat; (3) the other person has not consented and the actor knows the other person is unconscious or physically unable to resist; (4) the actor knows that as a result of mental disease or defect the other person is at the time of the sexual assault incapable either of appraising the nature of the act or of resisting it; (5) the other person has not consented and the actor knows the other person is unaware that the sexual assault is occurring; (6) the actor has intentionally impaired the other person's power to appraise or control the other person's conduct by administering any substance without the other person's knowledge; (7) the actor compels the other person to submit or participate by threatening to use force or violence against any person, and the other person believes that the actor has the ability to execute the threat.

⁵ Dating Violence is defined by the Texas Family Code, Section 71.0021 as:

- (a) an act, other than a defensive measure to protect oneself, by an actor that:
 - (1) is committed against a victim:
 - (A) with whom the actor has or has had a dating relationship; or
 - (B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and
 - (2) is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or sexual assault.
- (b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:
 - (1) the length of the relationship;
 - (2) the nature of the relationship; and
 - (3) the frequency and type of interaction between the persons involved in the relationship.
- (c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b).

Texas Penal Code, Section 22.01 provides the criminal penalties associated with Dating Violence.

Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include acts covered under the definition of domestic violence.

3.12.3 Domestic (Family) Violence⁶ – includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the State of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the State of Texas.

3.12.4 Hostile Environment – exists when sex-based harassment is sufficiently severe or pervasive to deny or limit the individual's ability to participate in or benefit from the University's programs or activities or an employee's terms and conditions of employment. A hostile environment can be created by anyone involved in a University's program or activity (e.g., administrators, faculty members, employees, students, and University visitors).

In determining whether sex-based harassment has created a hostile environment, the University considers the conduct in question from both a subjective and objective perspective. It will be necessary, but not adequate, that the conduct was unwelcome to the individual who was harassed. To conclude that conduct created or contributed to a hostile environment, the University must also find that a reasonable person in the individual's position would have perceived the conduct as undesirable or offensive.

To ultimately determine whether a hostile environment exists for an individual or individuals, the University considers a variety of factors related to the severity, persistence, or pervasiveness of the sex-based harassment, including: (1) the type, frequency, and duration of the conduct; (2) the identity and relationships of the persons involved; (3) the number of individuals involved; (4) the location of the conduct and the context in which it occurred; and (5) the degree to which the conduct affected an individual's education or employment.

The more severe the sex-based harassment, the less need there is to show a repetitive series of incidents to find a hostile environment. Indeed, a single instance of sexual assault may be sufficient to create a hostile environment. Likewise, a series of incidents may be sufficient even if the sex-based harassment is not particularly severe.

First Amendment Considerations: this Policy does not impair the exercise of rights protected under the First Amendment. The University's sexual misconduct policy prohibits only sex-based harassment that creates a hostile environment. In this and other ways, the University applies and enforces this Policy in a manner that respects the First Amendment rights of students, faculty, and others.

⁶ Family Violence is defined by the Texas Family Code Section 71.004 as:

- (1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or sexual assault, but does not include defensive measures to protect oneself;
- (2) abuse, as that term is defined by Sections [261.001](#)(1)(C), (E), and (G), by a member of a family or household toward a child of the family or household; or
- (3) dating violence, as that term is defined by Section [71.0021](#).

Texas Penal Code Section 22.01 provides the criminal penalties associated with Domestic (Family) Violence.

3.12.5 Incapacitation – A state of being that prevents an individual from having the capacity to give consent. For example, incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability.

3.12.6 Intimidation – Unlawfully placing another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.

3.12.7 Other Inappropriate Sexual Conduct – Includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature directed towards another individual that does not rise to the level of sexual harassment but is unprofessional, inappropriate for the workplace or classroom and is not protected speech. It also includes consensual sexual conduct that is unprofessional and inappropriate for the workplace or classroom.

3.12.8 Preponderance of the Evidence – The greater weight of the credible evidence. Preponderance of the evidence is the standard for determining allegations of sexual misconduct under this Policy. This standard is satisfied if the action is deemed more likely to have occurred than not.

3.12.9 Responsible Employee – A University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.3.5. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees.

3.12.10 Retaliation – Any adverse action threatened or taken against someone *because* the individual has filed, supported, provided information in connection with a complaint of sexual misconduct or engaged in other legally protected activities. Retaliation includes, but is not limited to, intimidation, threats or harassment against any complainant, witness or third party.

3.12.11 Sexual Assault⁷ – An offense that meets the definition of rape, fondling, incest, or statutory rape:

- a. *Rape*: the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- b. *Fondling*: The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.

⁷ Sexual Assault is defined by Texas Penal Code, Section 22.011 as intentionally or knowingly:

- a) Causing the penetration of the anus or sexual organ of another person by any means, without that person's consent; or
- b) Causing the penetration of the mouth of another person by the sexual organ of the actor, without that person's consent; or
- c) Causing the sexual organ of another person, without that person's consent, to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor.

- c. *Incest*: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- d. *Statutory Rape*: Sexual intercourse with a person who is under the statutory age of consent.

3.12.12 Sexual Exploitation – Occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit, or to benefit anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material by email, text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity, letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.

3.12.13 Sexual Harassment – Unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when submission to such conduct is made either explicitly or implicitly a term or condition of a person's student status, employment, or participation in University activities; such conduct is sufficiently severe or pervasive that it interferes with an individual's education, employment, or participation in University activities, or creates an objectively hostile environment; or such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's education, employment, or participation in University activities, or creating an intimidating, hostile, or offensive environment. Sexual harassment is a form of sex discrimination that includes:

- a. Sexual violence, sexual assault, stalking, domestic violence and dating violence as defined herein.
- b. Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - i. unwelcome intentional touching; or
 - ii. deliberate physical interference with or restriction of movement.
- c. Verbal conduct not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic idea, including oral, written, or symbolic expression, including but not limited to:
 - i. explicit or implicit propositions to engage in sexual activity;
 - ii. gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;
 - iii. gratuitous remarks about sexual activities or speculation about sexual experiences;
 - iv. persistent, unwanted sexual or romantic attention;
 - v. subtle or overt pressure for sexual favors;
 - vi. exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars or other materials; or
 - vii. deliberate, repeated humiliation or intimidation based upon sex.

3.12.14 Sexual Misconduct – A broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual assault, sexual exploitation, sexual intimidation, sexual harassment, domestic violence, dating violence, and stalking. Sexual misconduct can be committed by men or women, strangers or acquaintances, and can occur between or among people of the same or opposite sex.

3.12.15 Sexual Violence – Physical sexual acts perpetrated against a person’s will or where a person is incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

3.12.16 Stalking⁸ – Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition:

- a. *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person’s property.
- b. *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
- c. *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

⁸ Stalking as defined by Texas Penal Code, Section 42.072 is when an individual on more than one occasion and pursuant to the same scheme or course of conduct that is directed specifically at another person, knowingly engages in conduct that:

- a) is considered harassment, or that the actor knows or reasonably should know the other person will regard as threatening:
 - i. bodily injury or death for the other person;
 - ii. bodily injury or death for a member of the other person's family or household or for an individual with whom the other person has a dating relationship; or
 - iii. that an offense will be committed against the other person's property;
- b) causes the other person, a member of the other person's family or household, or an individual with whom the other person has a dating relationship to be placed in fear of bodily injury or death or in fear that an offense will be committed against the other person's property, or to feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended; and
- c) would cause a reasonable person to:
 - i. fear bodily injury or death for himself or herself;
 - ii. fear bodily injury or death for a member of the person's family or household or for an individual with whom the person has a dating relationship;
 - iii. fear that an offense will be committed against the person's property; or
 - iv. feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended.

The University of Texas of the Permian Basin Sexual Harassment/Sexual Misconduct Policy

1. Title

Sexual Harassment/Sexual Misconduct Policy

2. Policy

Sec. 1 General Policy Statement.

1.1 The University of Texas of the Permian Basin is committed to maintaining a learning and working environment that is free from discrimination based on sex in accordance with Title IX of the Higher Education Amendments of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act). Sexual misconduct is a form of sex discrimination and will not be tolerated. As stated in the definition, sexual misconduct includes sexual harassment, sexual violence, sexual assault, stalking, domestic violence and/or dating violence. Individuals who engage in sexual misconduct and other inappropriate sexual conduct will be subject to disciplinary action.

1.2 The University will take prompt disciplinary action against any individuals or organizations within its control who violate this Policy. The University encourages any student, faculty, staff or visitor to promptly report violations of this Policy to an individual identified in Section 3.2.

Sec. 2 Applicability. This Policy applies to all University administrators, faculty, staff, students, and third parties within the University's control, including visitors and applicants for employment. It applies to conduct regardless of where it occurs, including off University property, if it potentially affects the complainant's education or employment with the University. It also applies regardless of the gender, gender identity or sexual orientation of the complainant or the respondent. In addition, it applies whether the complaint was made by or against a third party, and whether the complaint was made verbally or in writing.

Sec. 3 Filing a Complaint and Reporting Violations.

3.1 All Members of the University Community, Third Party and Anonymous Complaints. All administrators, faculty, staff, students, and third parties are strongly encouraged to immediately report any incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct to the Title IX Coordinator or Deputy Coordinators.

a. Anonymity. Individuals wishing to remain anonymous can file a complaint in any manner, including by telephone or written communication with the Title IX Coordinator or a Deputy Coordinator; however, electing to remain anonymous may greatly limit the University's ability to stop the

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harassment, collect evidence, or take effective action against individuals or organizations accused of violating the Policy.

- b. Confidentiality. The University has an obligation to maintain an environment free of sex discrimination, thus many University employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in strict confidence may use the resources outlined in Section 3.5.
- c. Timeliness of Complaint. Complaints should be reported as soon as possible after the complainant becomes aware of the inappropriate conduct. Delays in reporting can greatly limit the University's ability to stop the harassment, collect evidence, and/or take effective action against individuals or organizations accused of violating the Policy.

3.2 Responsible Employees. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees. A Responsible Employee is a University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.5.¹ Responsible Employees can find contact information for the Title IX Coordinator and Deputy Coordinators at the following website: <http://www.utpb.edu/campus-life/dean-of-students/sexual-harassment-sexual-assault-title-ix>.

3.3 Reporting to Law Enforcement. Complaints of sexual misconduct may also be made to The University of Texas of the Permian Basin Police Department at 432-552-2786 (non-emergency) or 432-552-2911 (emergency), to the City of Odessa Police Department at 432-333-3641 (non-emergency) or 911 (emergency), to the City of Midland Police Department at 432-685-7108 (non-emergency) or 911 (emergency), or to other local law enforcement authorities. The Title IX Deputy Coordinators can help individuals contact these law enforcement agencies. Employees and students with protective or restraining orders relevant to a complaint are encouraged to provide a copy to the University Police Department.

If a complaint of sexual misconduct is reported to the University Police Department, it shall advise the complainant of his or her right to file a complaint under this Policy. To the extent allowed by law and University policy, the University Police Department shall also notify the Title IX

¹ For example, a student may make a complaint to an employee in the Dean of Students' Office, a faculty member or university police. Each of these individuals is considered a Responsible Employee and accordingly each is obligated to report the complaint to the Title IX Coordinator or other appropriate designee.

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Coordinator of the complaint, and provide the Title IX Coordinator or the individual investigating the complaint access to any related University law enforcement records, so long as doing so does not compromise any criminal investigation.

- 3.4 Reporting to Outside Entities. An individual wishing to make a complaint may also contact the U.S. Department of Education, Office for Civil Rights (OCR) to complain of sex discrimination or sexual misconduct including sexual violence:

Office for Civil Rights
U.S. Department of Education
1999 Bryan Street, Suite 1620
Dallas, TX 75201-6810
Phone: (214) 661-9600
FAX: (214) 661-9587

Employees may also contact the U.S. Equal Employment Opportunity Commission to complain of sex discrimination or sexual harassment:

U.S. Equal Employment Opportunity Commission
Dallas District Office
207 S. Houston Street, 3rd Floor
Dallas, TX 75202
Phone: (800) 669-4000
FAX: (214) 253-2720

- 3.5 Confidential Support and Resources. Physical and mental health care professionals and pastoral counselors (including those who act in that role under the supervision of these individuals), are prohibited by confidentiality laws from reporting any information about an incident to anyone, in any way that identifies the victim, without the victim's permission. Thus, students may discuss an incident with a counselor in Counseling and Psychological Services, a health care provider in Health Services, the clergyperson of the student's choice, or an off-campus resource (i.e. rape crisis center, doctor, psychologist, etc.) without concern that the incident will be reported to the Title IX Coordinator. Employees may also seek assistance from the Employee Assistance Program, their own personal health care provider, the clergyperson of the employee's choice, or an off-campus rape crisis resource without concern that the incident will be reported to the Title IX Coordinator. The University and community resources that provide such services are: UTPB Counseling Center, located at FB 061, phone number 432-552-2365.

- 3.6 Immunity. In an effort to encourage reporting of sexual misconduct, the University may grant immunity from student disciplinary action to a person who voluntarily initiates a report of sexual misconduct or assists a complainant, if that person acts in good faith in reporting a complaint or

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participating in an investigation. This immunity does not extend to the person's own violations of this Policy.

3.7 Title IX Coordinator and Deputy Coordinators. The Title IX Coordinator and Deputy Coordinators are:

Title IX Coordinator: Narita Holmes, MB 4240A, 432-552-2697, holmes_n@utpb.edu, or TitleIXCoordinator@UTPB.edu.

Deputy Title IX Coordinator for Student Issues: Penney Nichols, MB 2120C, 432-552-4654, Nichols_p@utpb.edu.

Deputy Title IX Coordinator for Faculty/Staff Issues: Caron Perkins, MB 4224, 432-552-2750, perkins_c@utpb.edu.

Sec. 4. Parties' Rights Regarding Confidentiality. The University has great respect for the privacy of the parties in a complaint. Under federal law, however, Responsible Employees who receive a report of sexual misconduct must share that information with the Title IX Coordinator and/or a Deputy Coordinator. The coordinators may need to act to maintain campus safety and must determine whether to investigate further under Title IX, regardless of the complainant's request for confidentiality.

In the course of the investigation, the University may share information only as necessary with people who need to know to fulfill the purposes of this Policy and applicable law, such as investigators, witnesses, and the respondent. The University will take all reasonable steps to ensure there is no retaliation against a complainant. The University will comply with the Family Educational Rights and Privacy Act (FERPA), with Texas Education Code Sec. 51.971 and other confidentiality laws as they apply to Title IX investigations. To the extent possible, the University will also protect the privacy of all parties to a report of sexual misconduct.

Sec. 5. Victim Resources.

5.1 Immediate Assistance.

SANE (Sexual Assault Nurse Examiner) Exam location, contact Midland Memorial Hospital at 432-221-1111 for general information or ER service 432-221-1558.

Medical Center Hospital: General information 432-640-4000 or ER service 432-640-1190.

UTPB Counseling Center: 432-552-2365.

RAINN (Rape, Abuse and Incest National Network): Information and resources on sexual assault and sexual harassment www.rainn.org.

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- A. Healthcare. An individual who experiences any form of sexual, domestic, or dating violence is encouraged to seek immediate medical care. Also, preserving DNA evidence can be key to identifying the perpetrator in a sexual violence case. Victims can undergo a medical exam to preserve physical evidence with or without police involvement. If possible, this should be done immediately. If an immediate medical exam is not possible, individuals who have experienced a sexual assault may have a Sexual Assault Forensic Exam (SAFE) performed by a Sexual Assault Nurse Examiner (SANE) within 4 days of the incident. With the examinee's consent, the physical evidence collected during this medical exam can be used in a criminal investigation; however, a person may undergo a SAFE even without contacting, or intending to contact, the police. To undergo a SAFE, go directly to the emergency department of Midland Memorial Hospital or the nearest hospital that provides SAFE services.

For more information about the SAFE, see <http://hopelaws.org/> or <https://www.texasattorneygeneral.gov/victims/sapcs.shtml#survivors>. The cost of the forensic portion of the exam is covered by the law enforcement agency that is investigating the assault or, in cases where a report will not be made to the police, the Texas Department of Public Safety. This does not include fees related to medical treatment that are not a part of the SAFE.

- B. Police Assistance. The University encourages individuals who have experienced sexual misconduct to make a report to the police. It is important to note that a police department's geographic jurisdiction depends on where the sexual misconduct occurred. If the incident occurred on the University campus, a report may be filed with the UTPB Police Department by calling 432-552-2786 or in person at the UTPB Police Department headquarters at MB 1103, even if time has passed since the assault occurred.

The UTPB Police Department can also assist with filing any protective orders. Reporting an assault to law enforcement does not mean that the case will automatically go to criminal trial or to a University disciplinary hearing. If the University police are called, a uniformed officer will be sent to the scene to take a detailed statement. A ride to the hospital may be provided by the police department. A report may be filed with the University police even if the assailant was not a University student or employee. If the incident occurred in the City of Odessa or Midland, but off campus, a report may be filed with the City of Odessa or Midland Police Department, even if time has passed since the assault occurred. If a report is made to the police, a uniformed officer will usually be dispatched to the location to take a written report.

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- C. Counseling and Other Services. A person who has experienced sexual violence is strongly encouraged to seek medical and psychological care even if he or she does not plan to request a SAFE or report the assault to the police. He or she may be prescribed medications to prevent sexually transmitted infections and/or pregnancy even if the police are not contacted or if a SAFE is not performed.

Medical care can be provided at University Health Services (for students only), at a local emergency room, or by a private physician. Psychological support can be provided by the University Counseling Center (students), Employee Assistance (employees), a referral through the Employee Assistance Program, or a care provider of the individual's choosing.

Students desiring counseling should contact:

The UTPB Counseling Center, located at FB 061, phone number 432-552-2365.

Faculty and staff should contact:

The UTPB Counseling Center, located at FB 061, phone number 432-552-2365.

5.2 Interim Measures and Ongoing Assistance.

In addition to the services provided by on- and off-campus providers, the University will take immediate and interim measures to assure the safety and well-being of the complainant, to maintain an environment free from harassment, discrimination or retaliation, and to protect the safety and well-being of community members.

For example, if the accused is an employee, interim action may include reassignment and suspension. If the accused is a student, interim action may include suspension, no contact orders, changing living arrangements, modifying the course schedule, or modifying other aspects of the educational environment. Interim action may also include allowing the complainant to move to a new residence hall, change work schedules, alter academic schedules, and withdraw from or retake a class without penalty. Moreover, the University may be able to provide additional accommodations for a complainant while an investigation is pending.

Sec. 6 Intake Procedures and Protocol.

6.1 Key Officials in an Investigation.

- A. Title IX Coordinator. The Title IX Coordinator is the senior University administrator who oversees the University's compliance with Title IX. The Title IX Coordinator is responsible for leading the administrative investigation of reports of sexual misconduct and is available to discuss options, provide support, explain University policies and procedures, and

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provide education on relevant issues. The Title IX Coordinator may designate one or more Deputy Title IX Coordinators.

Any member of the University community may contact the Title IX Coordinator with questions.

- B. Investigators. The Title IX Coordinator will ensure that complaints are properly investigated under this Policy. The Title IX Coordinator will also ensure that investigators are properly trained at least annually to conduct investigations that occur under this Policy. The Title IX Deputy Coordinators shall supervise and advise the Title IX investigators when conducting investigations and update the Title IX Coordinator as necessary.

6.2 Assessment of Complaint.

The Title IX Coordinator or designee will conduct a preliminary assessment of the complaint and determine whether a formal resolution or an informal resolution should occur. Informal resolution may be appropriate:

- A. With a complaint solely of sexual harassment, not including sexual violence as defined in this Policy; and
- B. When both parties are categorically similar (i.e. employee/employee or student/student).

6.3 Notification of University Offices Offering Assistance. After receiving a complaint, the Title IX Coordinator shall direct the Deputy Title IX Coordinator for Student Issues for students or the Deputy Title IX Coordinator for Faculty/Staff Issues for employees to inform the complainant of available resources and assistance. While taking into consideration requested confidentiality, the Deputy Title IX Coordinator for Student Issues for students and Deputy Title IX Coordinator for Faculty/Staff Issues office may serve as a liaison between the complainant and the Title IX Coordinator during the investigation.

6.4 Informal Resolution of Certain Sexual Harassment Complaints. (OPTIONAL)

A complainant may use this option instead of or before filing a formal complaint, but is not required to do so. Also, this option is not permitted for sexual violence cases. Anyone who believes that he or she has been subject to sexual misconduct may immediately file a formal complaint as described in Section 3 of this Policy. An individual wishing to use the informal resolution process should contact the Title IX Coordinator.

- A. Informal Assistance. In certain sexual harassment complaints, an individual may not wish to file a formal complaint. If informal assistance is deemed appropriate by the Title IX Coordinator or designee, then the individual will be provided assistance in informally resolving the alleged sexual harassment. Assistance may include providing the complainant

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with strategies for communicating with the offending party that his or her behavior is unwelcomed and should cease, directing a University official to inform the offending party to stop the unwelcomed conduct, or initiating mediation. However, the University may take more formal action, including disciplinary action, to ensure an environment free of sexual harassment or sexual misconduct.

- B. Timeframe. Informal resolutions should be completed no later than 10 business days after the Title IX Coordinator receives the request for informal resolution.
- C. Confidentiality and Documentation. The University will document and record informal resolutions. The Title IX Coordinator will retain the documentation. If the individual's wish to remain anonymous limits the University's ability to establish facts and eliminate the potential harassment, the University will attempt to find the right balance between the individual's desire for privacy and confidentiality and its responsibility to provide an environment free of sexual harassment.

6.5 Formal Complaint and Investigation.

Formal Complaint. To begin the investigation process, the complainant should submit a signed, written statement setting out the details of the conduct that is the subject of the complaint, including the complainant's name, signature, and contact information; the name of the person directly responsible for the alleged violation; a detailed description of the conduct or event that is the basis of the alleged violation; the date(s) and location(s) of the occurrence(s); the names of any witnesses to the occurrence(s); the resolution sought; and any documents or information that is relevant to the complaint. The University may initiate an investigation regardless of the manner in which a complaint is received or whether a complaint is received at all. However, the complainant is strongly encouraged to file a written complaint. If the complaint is not in writing, the investigator should prepare a statement of what he or she understands the complaint to be and ask the complainant to verify that statement. The University office receiving the complaint should refer the complaint to the Title IX Coordinator.

Investigation.

- A. An investigator will be assigned to investigate the complaint.
- B. As part of the investigation process, the complainant and the respondent will be provided notice of the complaint and allowed a reasonable time to respond in writing.
- C. The complainant and the respondent may present any document or information that is believed to be relevant to the complaint.

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- D. Persons thought to have information relevant to the complaint will be interviewed, and those interviews will be appropriately documented. Both the respondent and the complainant may recommend witnesses for interview and suggest questions that should be asked. Neither the complainant nor the respondent will normally attend these interviews or the gathering of evidence; however, if either one is permitted to attend, the other shall have the same right.
- E. The investigation of a complaint will be concluded as soon as possible after receipt of the written complaint. In investigations exceeding 60 days, a justification for the delay will be presented to and reviewed by the Title IX Coordinator or his/her supervisor. The complainant, respondent, and supervisor should be provided updates on the progress of the investigation and issuance of the report.
- F. After the investigation is complete, a written report² will be issued to the Title IX Coordinator and the appropriate administrator. The appropriate administrator will depend on the status of the respondent (i.e., student, faculty or employee). The report shall include factual findings and a preliminary conclusion of whether a policy violation occurred (based on a “preponderance of the evidence” standard).
- G. After the written report is completed, the complainant and respondent will be allowed to inspect the report or, at the university’s discretion, provided letters summarizing the findings in the report in keeping with FERPA and Texas Education Code, Section 51.971. If a letter is provided, it will contain enough detail to allow the complainant and respondent to comment on the adequacy of the investigation. Each will have 7 business days from the date of receipt (as indicated on the return receipt) to submit written comments regarding the investigation to the Title IX Coordinator.
- H. Within 7 business days after the deadline for receipt of comments from the complainant and respondent, the Title IX Coordinator or his or her designee will: (1) request further investigation into the complaint; (2) dismiss the complaint if it is determined that no violation of policy or inappropriate conduct occurred; or (3) find that the Policy was violated. A decision that the Policy was violated shall be based on the record.
- I. If the Title IX Coordinator or his or her designee determines that the Policy was violated, he or she will refer the matter for disciplinary action under the applicable disciplinary policies and procedures, which depend on the status of the respondent (i.e., student, faculty or employee).
- J. The complainant and the respondent shall be informed concurrently in writing of the decision in accordance with section 6.5.G of this Policy.

² Appropriate report redactions will be made to comply with Texas Education Code, Section 51.971.

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K. The appropriate administrator will impose disciplinary action or sanction(s) in accordance with the applicable policies and procedures dependent on the status of the respondent (i.e., student, faculty or employee).

6.6 Standard of Proof. All investigations under this Policy will use the preponderance of the evidence standard to determine violations of this Policy.

6.7 Timelines. Barring any unforeseen and reasonable delays, the University will endeavor to resolve complaints under this Policy no later than 60 calendar days after the initial report was received by the Responsible Employee. If the investigation and resolution exceeds 60 calendar days, the University will notify all parties in writing of the reason for the delay and the expected time frame adjustment. Best efforts will be made to complete the process in a timely manner by balancing principles of thoroughness and fundamental fairness with promptness.

At the request of law enforcement, the University may defer its fact-gathering until after the initial stages of a criminal investigation. The University will nevertheless communicate with the complainant regarding his/her Title IX rights, procedural options, the status of the investigation, and the implementation of interim measures to ensure his/her safety and well-being. The University will also communicate with the respondent regarding his/her Title IX rights, procedural options and information regarding the status of the investigation. The University will promptly resume its fact-gathering as soon as law enforcement has completed its initial investigation, or if the fact-gathering is not completed in a reasonable time.

The filing of a complaint under this Policy does not excuse the complainant from meeting time limits imposed by outside agencies. Likewise, the applicable civil or criminal statute of limitations will not affect the University's investigation of the complaint.

6.8 Remedies. In addition to sanctions that may be imposed pursuant to the appropriate disciplinary policy, the University will take appropriate action(s), including but not limited to those below to resolve complaints of sexual misconduct, prevent any recurrence and, as appropriate, remedy any effects:

- (a) Imposing sanctions against the respondent, including attending training, suspension, termination or expulsion;
- (b) Ensuring the complainant and respondent do not share classes, working environments or extracurricular activities;
- (c) Making modifications to the on campus living arrangements of the respondent or complainant (if the complainant requests to be moved);
- (d) Providing comprehensive, holistic victim services including medical, counseling and academic support services, such as tutoring;

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- (e) Providing the complainant extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;
- (f) Determining whether sexual misconduct adversely affected the complainant's university standing;
- (g) Designating an individual specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist victims whenever needed;
- (h) Conducting, in conjunction with University leaders, a University climate check to assess the effectiveness of efforts to ensure that the University is free from sexual misconduct, and using that information to inform future proactive steps that the University will take;
- (i) Providing targeted training for a group of students if, for example, the sexual misconduct created a hostile environment in a residence hall, fraternity or sorority, or on an athletic team. Bystander intervention and sexual misconduct prevention programs may be appropriate;
- (j) Issuing policy statements or taking other steps to clearly communicate that the University does not tolerate sexual misconduct and will respond to any incidents and to any individual who reports such incidents.

These remedies are separate from, and in addition to, any interim measures that may have been provided before the end of the University's investigation. If the complainant did not take advantage of a specific service (e.g., counseling) when offered as an interim measure, the complainant should still be offered, and is still entitled to, appropriate final remedies that may include services the complainant declined as an interim measure. A refusal at the interim stage does not mean the refused service or set of services should not be offered as a remedy.

6.9 Sanctions and Discipline. Disciplinary action against faculty and employees will be handled under the University's policies for discipline and dismissal of faculty and employees. Disciplinary actions may include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, and dismissal. The Associate Dean of Students will impose disciplinary action, if any, against a student under the University's student disciplinary procedures. Student disciplinary actions may include, but are not limited to, probation, suspension, or expulsion.

[Student Conduct and Discipline Policy](#)
[Discipline and Dismissal Policy and Procedures](#)

In accordance with federal law, when disciplinary action is commenced because of a violation of this Policy, the above policies will provide both parties equal opportunities in all aspects of the process including notices and advisor representation. Further, the standard of proof in determining the

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outcome will be the “preponderance of the evidence,” as defined in this policy.

Sec. 7. Provisions Applicable to the Investigation.

- 7.1 Assistance. During the investigation process, a complainant or respondent may be assisted by an advisor, who may be an attorney; however, the advisor may not actively participate in a meeting or interview.
- 7.2 Time Limitations. Time limitations in these procedures may be modified by the Title IX Coordinator or appropriate administrator on a written showing of good cause by the complainant, respondent, or the University.
- 7.3 Concurrent Criminal or Civil Proceedings. The University will not wait for the outcome of a concurrent criminal or civil justice proceeding to take action. The University has an independent duty to investigate complaints of sexual misconduct. (Except as provided in Sec. 6.7).
- 7.4 Documentation. The University shall document complaints and their resolution and retain copies of all materials in accordance with state and federal records laws and University policy.

Sec 8. Dissemination of Policy and Educational Programs.

- 8.1 This Policy will be made available to all University administrators, faculty, staff, and students online at http://www.utpb.edu/campus-life/dean-of-students/sexual-harassment-sexual-assault-http://www.utpb.edu/docs/default-source/utpb-docs/pdf/hop/part_iii.pdf?sfvrsn=2 and in University publications. Periodic notices will be sent to University administrators, faculty, staff and students about the University’s Sexual Harassment/Sexual Misconduct Policy. The notice will include information about sexual misconduct, including the complaint procedure, and about University disciplinary policies and available resources, such as support services, health, and mental health services. The notice will specify the right to file a complaint under this Policy and with law enforcement and will refer individuals to designated offices or officials for additional information.
- 8.2 Ongoing Sexual Misconduct Training. The University’s commitment to raising awareness of the dangers of sexual misconduct includes offering ongoing education through annual training and lectures by faculty, staff, mental health professionals, and/or trained University personnel. The University will periodically educate and train employees and supervisors regarding the Policy and conduct that could constitute a violation of the Policy. Preventive education and training programs will be provided to University administrators, faculty, staff, and students and will include information about risk reduction, including bystander intervention. Training on sexual harassment and sexual violence policy and procedures will be provided to law enforcement personnel, including training on their obligation to advise University administrators, faculty, staff, and students of their rights to file a complaint

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under this Policy and their right to file a criminal complaint. [\[Link to web page with training provided\]](#)

8.3 Training of Coordinators, Investigators, Hearing and Appellate Authorities. All Title IX Coordinators, Deputy Coordinators, investigators, and those with authority over sexual misconduct hearings and appeals shall receive training each academic year about offenses, investigatory procedures, due process, and University policies related to sexual misconduct.

Sec. 9. Additional Conduct Violations.

9.1 Retaliation. Any administrator, faculty member, student or employee who knowingly and intentionally retaliates in any way against an individual who has brought a complaint under this Policy, participated in an investigation or disciplinary process of such a complaint, or opposed any unlawful practice, is subject to disciplinary action up to and including dismissal or separation from the University.

9.2 False Complaints. Any person who knowingly and intentionally files a false complaint under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. A finding of non-responsibility does not indicate a report was false.

9.3 Interference with an Investigation. Any person who knowingly and intentionally interferes with an ongoing investigation conducted under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. Interference with an ongoing investigation may include, but is not limited to:

- (a) Attempting to coerce, compel, or prevent an individual from providing testimony or relevant information;
- (b) Removing, destroying, or altering documentation relevant to the investigation; or
- (c) Providing false or misleading information to the investigator, or encouraging others to do so.

9.4 No Effect on Pending Personnel or Academic Actions Unrelated to the Complaint. The filing of a complaint under this Policy will not stop or delay any action unrelated to the complaint, including: (1) any evaluation or disciplinary action relating to a complainant who is not performing up to acceptable standards or who has violated University rules or policies; (2) any evaluation or grading of students participating in a class, or the ability of a student to add/drop a class, change academic programs, or receive financial reimbursement for a class; or (3) any job-related functions of a University employee. Nothing in this section shall limit the University's ability to take interim action.

Sec. 10 Documentation. The University shall confidentially maintain information related to complaints under this Policy, as required by law. The Title IX Coordinator will

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document each complaint or request for assistance under this Policy, whether made by a victim, a third party, or anonymously, and will review and retain copies of all reports generated as a result of investigations. These records will be kept confidential to the extent permitted by law. Any person who knowingly and intentionally makes an unauthorized disclosure of confidential information contained in a complaint or otherwise related to the investigation of a complaint under this Policy is subject to disciplinary action.

Sec. 11 Annual Reporting and Notice. The University's Title IX General Policy Statement will be made available to all students, faculty, and employees online, in required publications and in specified departments. On an annual basis, and upon any updates to this Policy, the University will send notice of its compliance with Title IX as required by law. The annual notice shall designate the Title IX Coordinator and Deputy Coordinators, explain which offenses are prohibited and where to report violations of this Policy, provide information regarding victim resources, and provide a link to this Policy and other related University websites.

3. Definitions and Examples³

Consent – A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) intimidation, (d) coercion, (e) incapacitation or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to have sexual activity.

A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity.

The definition of consent for the crime of sexual assault in Texas can be found in Section 22.011(b) of the Texas Penal Code.⁴

³ The definitions provided in the main body of the text are the definitions adopted by the University. When applicable, we have included the state law definition. In any criminal action brought by law enforcement, the state law definition will apply.

⁴ Texas Penal Code, Section 22.011(b) states that a sexual assault is without consent if: (1) the actor compels the other person to submit or participate by the use of physical force or violence; (2) the actor compels the other person to submit or participate by threatening to use force or violence against the other person, and the other person believes that the actor has the present ability to execute the threat; (3) the other person has not consented and the actor knows the other person is unconscious or physically unable to resist; (4) the actor knows that as a result of mental disease or defect the other person is at the time of the sexual assault incapable either of appraising the nature of the act or of resisting it; (5) the other person has not consented and the actor knows the other person is unaware that the sexual assault is occurring; (6) the actor has intentionally impaired the other person's power to appraise or

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Dating Violence⁵ – Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.

The existence of such a relationship shall be determined by the victim with consideration of the following factors:

- a) The length of the relationship;
- b) The type of relationship; and
- c) The frequency of interaction between the persons involved in the relationship

Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include acts covered under the definition of domestic violence.

Domestic (Family) Violence⁶ – includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.

control the other person's conduct by administering any substance without the other person's knowledge; (7) the actor compels the other person to submit or participate by threatening to use force or violence against any person, and the other person believes that the actor has the ability to execute the threat.

⁵ Dating Violence is defined by the Texas Family Code, Section 71.0021 as:

- (a) an act, other than a defensive measure to protect oneself, by an actor that:
 - (1) is committed against a victim:
 - (A) with whom the actor has or has had a dating relationship; or
 - (B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and
 - (2) is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or sexual assault.
- (b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:
 - (1) the length of the relationship;
 - (2) the nature of the relationship; and
 - (3) the frequency and type of interaction between the persons involved in the relationship.
- (c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b).

Texas Penal Code, Section 22.01 provides the criminal penalties associated with Dating Violence.

⁶ Family Violence is defined by the Texas Family Code Section 71.004 as:

- (1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or sexual assault, but does not include defensive measures to protect oneself;
- (2) abuse, as that term is defined by Sections [261.001\(1\)\(C\)](#), (E), and (G), by a member of a family or household toward a child of the family or household; or
- (3) dating violence, as that term is defined by Section [71.0021](#).

Texas Penal Code Section 22.01 provides the criminal penalties associated with Domestic (Family) Violence.

The University of Texas of the Permian Basin Sexual Harassment/Sexual Misconduct Policy

Hostile Environment – exists when sex-based harassment is sufficiently severe or pervasive to deny or limit the individual's ability to participate in or benefit from the University's programs or activities or an employee's terms and conditions of employment. A hostile environment can be created by anyone involved in a University's program or activity (e.g., administrators, faculty members, employees, students, and University visitors).

In determining whether sex-based harassment has created a hostile environment, the University considers the conduct in question from both a subjective and objective perspective. It will be necessary, but not adequate, that the conduct was unwelcome to the individual who was harassed. To conclude that conduct created or contributed to a hostile environment, the University must also find that a reasonable person in the individual's position would have perceived the conduct as undesirable or offensive.

To ultimately determine whether a hostile environment exists for an individual or individuals, the University considers a variety of factors related to the severity, persistence, or pervasiveness of the sex-based harassment, including: (1) the type, frequency, and duration of the conduct; (2) the identity and relationships of the persons involved; (3) the number of individuals involved; (4) the location of the conduct and the context in which it occurred; and (5) the degree to which the conduct affected an individual's education or employment.

The more severe the sex-based harassment, the less need there is to show a repetitive series of incidents to find a hostile environment. Indeed, a single instance of sexual assault may be sufficient to create a hostile environment. Likewise, a series of incidents may be sufficient even if the sex-based harassment is not particularly severe.

First Amendment Considerations: this Policy does not impair the exercise of rights protected under the First Amendment. The University's sexual misconduct policy prohibits only sex-based harassment that creates a hostile environment. In this and other ways, the University applies and enforces this Policy in a manner that respects the First Amendment rights of students, faculty, and others.

Incapacitation – A state of being that prevents an individual from having the capacity to give consent. For example, incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability.

Intimidation – Unlawfully placing another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.

Other Inappropriate Sexual Conduct – Includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature directed towards another individual that does not rise to the level of sexual harassment but is unprofessional, inappropriate for the workplace or classroom and is not protected speech. It also includes consensual sexual conduct that is unprofessional and inappropriate for the workplace or classroom.

The University of Texas of the Permian Basin Sexual Harassment/Sexual Misconduct Policy

Preponderance of the Evidence – The greater weight of the credible evidence. Preponderance of the evidence is the standard for determining allegations of sexual misconduct under this Policy. This standard is satisfied if the action is deemed more likely to have occurred than not.

Responsible Employee – A University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.5. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees.

Retaliation – Any adverse action threatened or taken against someone *because* the individual has filed, supported, provided information in connection with a complaint of sexual misconduct or engaged in other legally protected activities. Retaliation includes, but is not limited to, intimidation, threats or harassment against any complainant, witness or third party.

Sexual Assault⁷ – An offense that meets the definition of rape, fondling, incest, or statutory rape:

- a) *Rape*: the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- b) *Fondling*: The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.
- c) *Incest*: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- d) *Statutory Rape*: Sexual intercourse with a person who is under the statutory age of consent.

Sexual Exploitation – Occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit, or to benefit anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material by email, text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity,

⁷ Sexual Assault is defined by Texas Penal Code, Section 22.011 as intentionally or knowingly:

- a) Causing the penetration of the anus or sexual organ of another person by any means, without that person's consent; or
- b) Causing the penetration of the mouth of another person by the sexual organ of the actor, without that person's consent; or
- c) Causing the sexual organ of another person, without that person's consent, to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor.

The University of Texas of the Permian Basin Sexual Harassment/Sexual Misconduct Policy

letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.

Sexual Harassment – Unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when submission to such conduct is made either explicitly or implicitly a term or condition of a person's student status, employment, or participation in University activities; such conduct is sufficiently severe or pervasive that it interferes with an individual's education, employment, or participation in University activities, or creates an objectively hostile environment; or such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's education, employment, or participation in University activities, or creating an intimidating, hostile, or offensive environment. Sexual harassment is a form of sex discrimination that includes:

- a) Sexual violence, sexual assault, stalking, domestic violence and dating violence as defined herein.
- b) Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - i. unwelcome intentional touching; or
 - ii. deliberate physical interference with or restriction of movement.
- c) Verbal conduct not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic idea, including oral, written, or symbolic expression, including but not limited to:
 - i. explicit or implicit propositions to engage in sexual activity;
 - ii. gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;
 - iii. gratuitous remarks about sexual activities or speculation about sexual experiences;
 - iv. persistent, unwanted sexual or romantic attention;
 - v. subtle or overt pressure for sexual favors;
 - vi. exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars or other materials; or
 - vii. deliberate, repeated humiliation or intimidation based upon sex.

Sexual Misconduct – A broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual assault, sexual exploitation, sexual intimidation, sexual harassment, domestic violence, dating violence, and stalking. Sexual misconduct can be committed by men or women, strangers or acquaintances, and can occur between or among people of the same or opposite sex.

Sexual Violence – Physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

The University of Texas of the Permian Basin Sexual Harassment/Sexual Misconduct Policy

Stalking⁸ – Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition--

- a) *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property.
- b) *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
- c) *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

4. Relevant Federal and State Statutes, and Standards

[Title IX of the Education Amendments of 1972, 20 U.S.C. §§ 1681–1688 and its implementing regulations, 34 C.F.R. Part 106](#)

[Title VII of the Civil Rights Act of 1964, 42 U.S.C. §§2000e–2000e-17 and its implementing regulations 29 C.F.R. §1604 11.](#)

[Clery Act, 20 U.S.C 1092\(f\) and its implementing regulations 34 C.F.R. Part 668](#)

[FERPA Regulations, 34 C.F.R. Part 99](#)

5. Other Relevant Policies, Procedures, and Forms

⁸ Stalking as defined by Texas Penal Code, Section 42.072 is when an individual on more than one occasion and pursuant to the same scheme or course of conduct that is directed specifically at another person, knowingly engages in conduct that:

- a) is considered harassment, or that the actor knows or reasonably should know the other person will regard as threatening:
 - i. bodily injury or death for the other person;
 - ii. bodily injury or death for a member of the other person's family or household or for an individual with whom the other person has a dating relationship; or
 - iii. that an offense will be committed against the other person's property;
- b) causes the other person, a member of the other person's family or household, or an individual with whom the other person has a dating relationship to be placed in fear of bodily injury or death or in fear that an offense will be committed against the other person's property, or to feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended; and
- c) would cause a reasonable person to:
 - i. fear bodily injury or death for himself or herself;
 - ii. fear bodily injury or death for a member of the person's family or household or for an individual with whom the person has a dating relationship;
 - iii. fear that an offense will be committed against the person's property; or
 - iv. feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended.

The University of Texas of the Permian Basin Sexual Harassment/Sexual Misconduct Policy

[Regents' Rules and Regulations, Rule 30105, Sexual Harassment, Sexual Misconduct, and Consensual Relationships](#)

[University of Texas System Administration Systemwide Policy \(UTS 184\), Consensual Relationships](#)

[University's Sex Discrimination Policy](#)

[Regents' Rules and Regulations, Rule 31008, Termination of a Faculty Member](#)

[Staff Discipline policy](#)

[Student Discipline policy](#)

6. System Administration Office(s) Responsible for Policy

Office of General Counsel

7. Dates Approved or Amended

April 6, 2015

February 21, 2012

8. Contact Information

Questions or comments about this Policy should be directed to:

- ogc_intake@utsystem.edu

ADM 3-300 SEXUAL HARASSMENT AND SEXUAL MISCONDUCT

A. Purpose

The University of Texas Rio Grande Valley (UTRGV) is committed to maintaining a learning and working environment that is free from discrimination based on sex in accordance with Title IX of the Higher Education Amendments of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SAVE Act).

B. Policy

UTRGV prohibits discrimination on the basis of sex in its educational programs or activities and in employment. Sexual misconduct (which includes sexual harassment, sexual violence, sexual assault, stalking, domestic violence and dating violence) is a form of sex discrimination and will not be tolerated. Individuals who engage in sexual misconduct and other inappropriate sexual conduct will be subject to disciplinary action. UTRGV will take prompt disciplinary action against any individuals or organizations within its control who violate this policy. UTRGV encourages any student, faculty, staff or visitor to promptly report violations of this policy to an individual identified in Section E.1.

C. Persons Affected

This policy applies to all UTRGV administrators, faculty, staff, students, and third parties within UTRGV's control, including visitors and applicants for employment. The policy applies to conduct regardless of where it occurs, including off UTRGV property, if it potentially affects the complainant's education or employment with UTRGV. It also applies regardless of the gender, gender identity or sexual orientation of the complainant or the respondent. In addition, it applies whether the complaint was made by or against a third party, and whether the complaint was made verbally or in writing.

D. Definitions and Examples¹

1. Consent – Knowing and voluntary words or actions clearly expressing mutually understandable permission to engage in each instance of sexual activity. Silence, in and of itself, cannot be interpreted as consent. Consent to one sexual act does not necessarily imply consent to another. Past consent to sexual acts or activity does not necessarily imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time through either words or actions, as long as that withdrawal is clearly communicated. Any expression of an unwillingness to engage in any instance of sexual activity, whether through words or actions, establishes a presumptive lack of consent. In order to give consent, one must be of legal age to consent under Texas law.

¹ The definitions provided in the main body of the text are the definitions adopted by UTRGV. When applicable, the state law definition has been included. In any criminal action brought by law enforcement, the state law definition will apply.

Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) intimidation, (d) coercion, (e) incapacitation or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to have sexual activity.

The definition of consent for the crime of sexual assault in Texas can be found in Section 22.001(b) of the Texas Penal Code.²

2. Dating Violence³ – Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim. The existence of such a relationship shall be determined by the victim with consideration of the following factors:

- a) The length of the relationship;
- b) The type of relationship; and
- c) The frequency of interaction between the persons involved in the relationship

Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include acts covered under the definition of domestic violence.

3. Domestic (Family) Violence⁴ – includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim

² Texas Penal Code, Section 22.011(b) states that a sexual assault is without consent if: (1) the actor compels the other person to submit or participate by the use of physical force or violence; (2) the actor compels the other person to submit or participate by threatening to use force or violence against the other person, and the other person believes that the actor has the present ability to execute the threat; (3) the other person has not consented and the actor knows the other person is unconscious or physically unable to resist; (4) the actor knows that as a result of mental disease or defect the other person is at the time of the sexual assault incapable either of appraising the nature of the act or of resisting it; (5) the other person has not consented and the actor knows the other person is unaware that the sexual assault is occurring; (6) the actor has intentionally impaired the other person's power to appraise or control the other person's conduct by administering any substance without the other person's knowledge; (7) the actor compels the other person to submit or participate by threatening to use force or violence against any person, and the other person believes that the actor has the ability to execute the threat.

³ Dating Violence is defined by the Texas Family Code, Section 71.0021 as:

- (a) an act, other than a defensive measure to protect oneself, by an actor that:
 - (1) is committed against a victim:
 - (A) with whom the actor has or has had a dating relationship; or
 - (B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and
 - (2) is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or sexual assault.
- (b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:
 - (1) the length of the relationship;
 - (2) the nature of the relationship; and
 - (3) the frequency and type of interaction between the persons involved in the relationship.
- (c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b).

Texas Penal Code, Section 22.01 provides the criminal penalties associated with Dating Violence.

⁴ Family Violence is defined by the Texas Family Code Section 71.004 as:

shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.

4. *Hostile Environment* – exists when sex-based harassment is sufficiently severe or pervasive to deny or limit the individual's ability to participate in or benefit from UTRGV's programs or activities or an employee's terms and conditions of employment. A hostile environment can be created by anyone involved in a UTRGV program or activity (e.g., administrators, faculty members, employees, students, and UTRGV visitors).

In determining whether sex-based harassment has created a hostile environment, UTRGV considers the conduct in question from both a subjective and objective perspective. It will be necessary, but not adequate, that the conduct was unwelcome to the individual who was harassed. To conclude that conduct created or contributed to a hostile environment, UTRGV must also find that a reasonable person in the individual's position would have perceived the conduct as undesirable or offensive.

To ultimately determine whether a hostile environment exists for an individual or individuals, UTRGV considers a variety of factors related to the severity, persistence, or pervasiveness of the sex-based harassment, including: (1) the type, frequency, and duration of the conduct; (2) the identity and relationships of the persons involved; (3) the number of individuals involved; (4) the location of the conduct and the context in which it occurred; and (5) the degree to which the conduct affected an individual's education or employment.

The more severe the sex-based harassment, the less need there is to show a repetitive series of incidents to find a hostile environment. Indeed, a single instance of sexual assault may be sufficient to create a hostile environment. Likewise, a series of incidents may be sufficient even if the sex-based harassment is not particularly severe.

This policy does not impair the exercise of rights protected under the First Amendment. UTRGV's sexual misconduct policy prohibits only sex-based harassment that creates a hostile environment. In this and other ways, UTRGV applies and enforces this policy in a manner that respects the First Amendment rights of students, faculty, and others.

5. *Incapacitation* – A state of being that prevents an individual from having the capacity to give consent. For example, incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability.

-
- (1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or sexual assault, but does not include defensive measures to protect oneself;
- (2) abuse, as that term is defined by Sections [261.001\(1\)\(C\)](#), (E), and (G), by a member of a family or household toward a child of the family or household; or
- (3) dating violence, as that term is defined by Section [71.0021](#).

Texas Penal Code Section 22.01 provides the criminal penalties associated with Domestic (Family) Violence.

6. Intimidation – Unlawfully placing another person in reasonable fear of bodily harm through the use of threatening words or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.
7. Other Inappropriate Sexual Conduct – Includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature directed towards another individual that does not rise to the level of sexual harassment but is unprofessional, inappropriate for the workplace or classroom and is not protected speech. It also includes consensual sexual conduct that is unprofessional and inappropriate for the workplace or classroom.
8. Preponderance of the Evidence – The greater weight of the credible evidence. Preponderance of the evidence is the standard for determining allegations of sexual misconduct under this policy. This standard is satisfied if the action is deemed more likely to have occurred than not.
9. Responsible Employee – A UTRGV employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any individual who works or volunteers in the Office of Victim Advocacy and Violence Prevention and employee with confidentiality obligations as defined in Section E.1.e. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees.
10. Retaliation – Any adverse action threatened or taken against someone *because* the individual has filed, supported, provided information in connection with a complaint of sexual misconduct or engaged in other legally protected activities. Retaliation includes, but is not limited to, intimidation, threats or harassment against any complainant, witness or third party.
11. Sexual Assault⁵ – An offense that meets the definition of rape, fondling, incest, or statutory rape:
 - a) *Rape*: the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
 - b) *Fondling*: The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of age or because of temporary or permanent mental incapacity.
 - c) *Incest*: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
 - d) *Statutory Rape*: Sexual intercourse with a person who is under the statutory age of consent.

⁵ Sexual Assault is defined by Texas Penal Code, Section 22.011 as intentionally or knowingly:

- a) Causing the penetration of the anus or sexual organ of another person by any means, without that person's consent; or
- b) Causing the penetration of the mouth of another person by the sexual organ of the actor, without that person's consent; or

Causing the sexual organ of another person, without that person's consent, to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor.

12. Sexual Exploitation – Occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit, or to benefit anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material by email, text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity, letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.
13. Sexual Harassment – Unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when submission to such conduct is made either explicitly or implicitly a term or condition of a person's student status, employment, or participation in UTRGV activities; such conduct is sufficiently severe or pervasive that it interferes with an individual's education, employment, or participation in UTRGV activities, or creates an objectively hostile environment; or such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's education, employment, or participation in UTRGV activities, or creating an intimidating, hostile, or offensive environment. Sexual harassment is a form of sex discrimination that includes:
- a) Sexual violence, sexual assault, stalking, domestic violence and dating violence as defined herein.
 - b) Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - i. unwelcome intentional touching; or
 - ii. deliberate physical interference with or restriction of movement.
 - c) Verbal conduct not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic idea, including oral, written, or symbolic expression, including but not limited to:
 - i. explicit or implicit propositions to engage in sexual activity;
 - ii. gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;
 - iii. gratuitous remarks about sexual activities or speculation about sexual experiences;
 - iv. persistent, unwanted sexual or romantic attention;
 - v. subtle or overt pressure for sexual favors;
 - vi. exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars or other materials; or
 - vii. deliberate, repeated humiliation or intimidation based upon sex.
14. Sexual Misconduct – A broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual assault, sexual exploitation, sexual intimidation, sexual harassment, domestic violence, dating violence, and stalking. Sexual misconduct can be committed by men or women, strangers or acquaintances, and can occur between or among people of the same or opposite sex.

15. Sexual Violence – Physical sexual acts perpetrated against a person’s will or where a person is incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, or aggravated sexual assault.
16. Stalking⁶ – Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition:
 - a) *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person’s property.
 - b) *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
 - c) *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

E. Procedures

1. Filing a Complaint and Reporting Violations.

- a. All Members of the UTRGV Community, Third Party and Anonymous Complaints. All administrators, faculty, staff, students, and third parties are strongly encouraged to immediately report any incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct to the Title IX Coordinator or Deputy Coordinators.
 - i) Anonymity. Individuals wishing to remain anonymous can file a complaint in any manner, including by telephone or written communication with the Title IX Coordinator or a Deputy Coordinator; however, electing to remain anonymous may greatly limit UTRGV’s ability to stop the harassment, collect evidence, or take effective action against individuals or organizations accused of violating the policy.

⁶ Stalking as defined by Texas Penal Code, Section 42.072 is when an individual on more than one occasion and pursuant to the same scheme or course of conduct that is directed specifically at another person, knowingly engages in conduct that:

- a) is considered harassment, or that the actor knows or reasonably should know the other person will regard as threatening:
 - i. bodily injury or death for the other person;
 - ii. bodily injury or death for a member of the other person's family or household or for an individual with whom the other person has a dating relationship; or
 - iii. that an offense will be committed against the other person's property;
- b) causes the other person, a member of the other person's family or household, or an individual with whom the other person has a dating relationship to be placed in fear of bodily injury or death or in fear that an offense will be committed against the other person's property, or to feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended; and
- c) would cause a reasonable person to:
 - i. fear bodily injury or death for himself or herself;
 - ii. fear bodily injury or death for a member of the person's family or household or for an individual with whom the person has a dating relationship;
 - iii. fear that an offense will be committed against the person's property; or
 - iv. feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended.

- ii) Confidentiality. UTRGV has an obligation to maintain an environment free of sex discrimination, thus many UTRGV employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in strict confidence may use the resources outlined in Section E.1.e.
 - iii) Timeliness of Complaint. Complaints should be reported as soon as possible after the complainant becomes aware of the inappropriate conduct. Delays in reporting can greatly limit UTRGV's ability to stop the harassment, collect evidence, or take effective action against individuals or organizations accused of violating this policy.
- b. Responsible Employees. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees. A Responsible Employee is a UTRGV employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except individuals who work or volunteer in the Office of Victim Advocacy and Violence Prevention or any employee with confidentiality obligations as defined in Section E.1.e.⁷ Responsible Employees can find contact information for the Title IX Coordinator and Deputy Coordinators at the following website: www.utrgv.edu/equity.
- c. Reporting to Law Enforcement. Complaints of sexual misconduct may also be made to The University of Texas Rio Grande Valley Police Department at (956) 665-7151 or (956) 882-8232 (non-emergency) or 911 (emergency). City of Edinburg Police (956) 289-7700 or City of Brownsville Police (956) 548-7000 (non-emergency) or 911 (emergency) or to other local law enforcement authorities. The Title IX Deputy Coordinators can help individuals contact these law enforcement agencies. Employees and students with protective or restraining orders relevant to a complaint are encouraged to provide a copy to the UT Rio Grande Valley Police Department.

If a complaint of sexual misconduct is reported to the UT Rio Grande Valley Police Department, it shall advise the complainant of the right to file a complaint under this policy. To the extent allowed by law and UTRGV policy, the UT Rio Grande Valley Police Department shall also notify the Title IX Coordinator of the complaint, and provide the Title IX Coordinator or the individual investigating the complaint access to any related UTRGV law enforcement records, so long as doing so does not compromise any criminal investigation.

- d. Reporting to Outside Entities. An individual wishing to make a complaint may also contact the U.S. Department of Education, Office for Civil Rights (OCR) to complain of sex discrimination or sexual misconduct including sexual violence:

⁷ For example, a student may make a complaint to an employee in the Dean of Students' Office, a faculty member or university police. Each of these individuals is considered a Responsible Employee and accordingly each is obligated to report the complaint to the Title IX Coordinator or other appropriate designee.

Office of Civil Rights - U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202
Hotline: 1-800-421-3481
TDD#: 1-800-521-2172
Email: OCR@ed.gov
Web: <http://www2.ed.gov/ocr>

Employees may also contact the U.S. Equal Employment Opportunity Commission to complain of sex discrimination or sexual harassment:

U.S. Equal Employment Opportunity Commission
San Antonio EEOC Field Office
Legacy Oaks, Building A
5410 Fredericksburg Road, Ste. 200
San Antonio, TX 78229
Phone: (800) 669-4000

- e. Confidential Support and Resources. Physical and mental health care professionals and pastoral counselors (including those who act in that role under the supervision of these individuals), as well as certain non-professional counselors or advocates working in victim advocacy offices, are prohibited by confidentiality laws from reporting any information about an incident to anyone, in any way that identifies the victim, without the victim's permission. In addition, certain non-professional counselors or advocates working in sexual-assault victim advocacy offices are required to maintain the confidentiality of communications in the course of providing services and may not disclose those communications except with consent or as otherwise provided by law. Thus, students may discuss an incident with a counselor in Counseling and Psychological Services, a health care provider in Health Services, the clergyperson of the student's choice, an individual who works or volunteers in the Office of Victim Advocacy and Violence Prevention, or an off-campus resource (i.e. rape crisis center, doctor, psychologist, etc.) without concern that the incident will be reported to the Title IX Coordinator. Employees may also seek assistance from the Employee Assistance Program, their own personal health care provider, the clergyperson of the employee's choice, or an off-campus rape crisis resource without concern that the incident will be reported to the Title IX Coordinator. UTRGV and community resources that provide such services are:

Office of Victim Advocacy and Violence Prevention
UTRGV Edinburg Campus
Phone: (956) 665-8287
Email: OVAVP@utrgv.edu

Mujeres Unidas in Hidalgo County
511 Mustang Dr.
McAllen, TX 78501
Phone: (956) 630-4878 or (800) 580-4879
Fax: (956) 687-4715

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Friendship of Women
 95 E Price Rd.
 Brownsville, TX 78521
 Phone: (956) 544-7412

Family Crisis Center in Rio Grande Valley
 616 W. Taylor
 Harlingen, TX 78550
 Phone: (956) 423-9305

- f. Immunity. In an effort to encourage reporting of sexual misconduct, UTRGV may grant immunity from student disciplinary action to a person who voluntarily initiates a report of sexual misconduct or assists a complainant, if that person acts in good faith in reporting a complaint or participating in an investigation. This immunity does not extend to the person’s own violations of this policy.
- g. Title IX Coordinator and Deputy Coordinators. The Title IX Coordinator and Deputy Coordinators are:

Role	Name	Position Title	Dept. Location	Contact Info
Title IX Coordinator:	Alicia G. Morley	Director, Office of Institutional Equity	Office of Legal Affairs SSBL 3.101 - Edinburg Campus	956-665-2103 alicia.morley@utrgv.edu
Deputy Coordinator: Athletics	Farrah Manthei	Associate Athletic Director for Administration/SWA	Athletics HPE1 1.102 - Edinburg Campus	956-665-2919 farrah.manthei@utrgv.edu
Deputy Coordinator: Staff & Faculty	Florence R. Nocar	Employee Relations Manager	Human Resources MASS 2.140 - Edinburg Campus	956-665-3020 florence.nocar@utrgv.edu
Deputy Coordinator: Students	Douglas R. Stoves	Associate Dean for Student Rights and Responsibilities	Student Rights and Responsibilities Cortez Hall #204 – Brownsville Campus	956- 882-7196 douglas.stoves@utrgv.edu
Assistant Deputy Coordinator: Students	David Marquez	Assistant Director for Student Rights and Responsibilities	Student Rights and Responsibilities Cortez Hall #211 – Brownsville Campus	956-882-5034 david.marquez@utrgv.edu

2. Parties’ Rights Regarding Confidentiality.

UTRGV has great respect for the privacy of the parties in a complaint. Under federal law, however, Responsible Employees who receive a report of sexual misconduct must share that information with the Title IX Coordinator or a Deputy Coordinator. Those individuals may need to act to maintain campus safety and must determine whether to investigate further under Title IX, regardless of the complainant’s request for confidentiality.

In the course of the investigation, UTRGV may share information only as necessary with people who need to know to fulfill the purposes of this policy and applicable law, such as

investigators, witnesses, and the respondent. UTRGV will take all reasonable steps to ensure there is no retaliation against a complainant. UTRGV will comply with the Family Educational Rights and Privacy Act (FERPA), with Texas Education Code Sec. 51.971 and other confidentiality laws as they apply to Title IX investigations. To the extent possible, UTRGV will also protect the privacy of all parties to a report of sexual misconduct.

3. *Victim Resources.*

a. *Immediate Assistance.*

UTRGV Counseling and Psychological Services
1201 West University Drive
University Center 109
Edinburg Campus
Phone: (956) 665-2574

UTRGV Counseling and Psychological Services
One West University Boulevard
Cortez Hall 237
Brownsville Campus
Phone: (956) 882-7641

UTRGV Employee Assistance Program
Phone: (800) 346-3549

Mission Regional Medical Center
900 S. Bryan Rd.
Mission, TX 78572
Phone: (956) 323-1111

Valley Baptist Medical Center
2222 Benwood St.
Harlingen, TX 78550
Phone: (956) 389-1100

The University of Texas at Rio Grande Valley Police Department
Phone: (956) 665-7151 Edinburg Campus
Phone: (956) 882-8232 Brownsville Campus

City of Edinburg Police Department
Phone: (956) 289-7700

City of Brownsville Police Department
Phone: (956) 548-7000

Emergency Phone: 911

- i) Healthcare. An individual who experiences any form of sexual, domestic, or dating violence is encouraged to seek immediate medical care. Also, preserving DNA evidence can be key to identifying the perpetrator in a sexual violence case. Victims can undergo a medical exam to preserve physical evidence with or without police involvement. If possible, this should be done immediately. If an immediate medical exam is not possible, individuals who have experienced a sexual assault may have a Sexual Assault Forensic Exam (SAFE) performed by a Sexual Assault Nurse Examiner (SANE) within 4 days of the incident. With the examinee's consent, the physical evidence collected during this medical exam can be used in a criminal investigation; however, a person may undergo a SAFE even without contacting, or intending to contact, the police. To undergo a SAFE, go directly to the emergency department of:

Mission Regional Medical Center
900 S. Bryan Rd.
Mission, Texas 78572
(956) 323-1111

Valley Baptist Medical Center
2222 Benwood St.
Harlingen, Texas 78550
(956) 389-1100

or to the nearest hospital that provides SAFE services.

For more information about the SAFE, see <http://hopelaws.org/> or <https://www.texasattorneygeneral.gov/victims/sapcs.shtml#survivors>. The cost of the forensic portion of the exam is covered by the law enforcement agency that is investigating the assault or, in cases where a report will not be made to the police, the Texas Department of Public Safety. This does not include fees related to medical treatment that are not a part of the SAFE.

- ii) Police Assistance. UTRGV encourages individuals who have experienced sexual misconduct to make a report to the police. It is important to note that a police department's geographic jurisdiction depends on where the sexual misconduct occurred. If the incident occurred on a UTRGV campus, a report may be filed with The University of Texas at Rio Grande Valley Police Department at (956) 665-7151 or (956) 882-8232, even if time has passed since the assault occurred.

UTRGV can also assist with filing any protective orders. Reporting an assault to law enforcement does not mean that the case will automatically go to criminal trial or to a UTRGV disciplinary hearing. If the UT Rio Grande Valley Police Department is called, a uniformed officer will be sent to the scene to take a detailed statement. A ride to the hospital may be provided by a police department counselor. A report may be filed with the UT Rio Grande Valley Police Department even if the assailant was not a UTRGV student or employee. If the incident occurred in the City of Edinburg Police Department, please call (956) 289-7700 or City of Brownsville Police Department (956) 548-7000, but off campus, a report may be filed with that city's

Police Department, even if time has passed since the assault occurred. If a report is made to the police, a uniformed officer will usually be dispatched to the location to take a written report.

- iii) Counseling and Other Services. A person who has experienced sexual violence is strongly encouraged to seek medical and psychological care even if he or she does not plan to request a SAFE or report the assault to the police. He or she may be prescribed medications to prevent sexually transmitted infections or pregnancy even if the police are not contacted or if a SAFE is not performed.

Medical care can be provided at University Health Services (for students only), at a local emergency room, or by a private physician. Psychological support can be provided by the University Counseling and Psychological Services (students), Employee Assistance (employees), a referral through the Employee Assistance Program, or a care provider of the individual's choosing.

Students desiring counseling should contact:

UTRGV Counseling and Psychological Services
University Center - 109
Edinburg Campus
Phone: (956) 665-2574

UTRGV Counseling and Psychological Services
One West University Boulevard
Cortez Hall 237
Brownsville Campus
Phone: (956) 882-7641

Faculty and staff should contact:
UTRGV Employee Assistance Program
Phone: (800) 346-3549

b. Interim Measures and Ongoing Assistance.

In addition to the services provided by on- and off-campus providers, UTRGV will take immediate and interim measures to assure the safety and well-being of the complainant, to maintain an environment free from harassment, discrimination or retaliation, and to protect the safety and well-being of community members.

For example, if the accused is an employee, interim action may include reassignment and suspension. If the accused is a student, interim action may include suspension, no contact orders, changing living arrangements, modifying the course schedule, or modifying other aspects of the educational environment. Interim action may also include allowing the complainant to move to a new residence hall, change work schedules, alter academic schedules, and withdraw from or retake a class without penalty. Moreover, UTRGV may be able to provide additional accommodations for a complainant while an investigation is pending.

4. *Intake Procedures and Protocol.*

a. *Key Officials in an Investigation.*

- i) Title IX Coordinator. The Title IX Coordinator is the senior UTRGV administrator who oversees UTRGV's compliance with Title IX. The Title IX Coordinator is responsible for leading the administrative investigation of reports of sexual misconduct and is available to discuss options, provide support, explain UTRGV policies and procedures, and provide education on relevant issues. The Title IX Coordinator may designate one or more Deputy Title IX Coordinators.

Any member of the UTRGV community may contact the Title IX Coordinator with questions.

- ii) Investigators. The Title IX Coordinator will ensure that complaints are properly investigated under this policy. The Title IX Coordinator will also ensure that investigators are properly trained at least annually to conduct investigations that occur under this Policy. The Title IX Deputy Coordinators shall supervise and advise the Title IX investigators when conducting investigations and update the Title IX Coordinator as necessary.

b. *Assessment of Complaint.*

The Title IX Coordinator or designee will conduct a preliminary assessment of the complaint and determine whether a formal resolution or an informal resolution should occur. Informal resolution may be appropriate:

- i) With a complaint solely of sexual harassment, not including sexual violence as defined in this policy; and
- ii) When both parties are categorically similar (i.e. employee/employee or student/student).

c. *Notification of University Offices Offering Assistance.*

After receiving a complaint, the Title IX Coordinator or Deputy Coordinator shall direct the Office of Victim Advocacy and Violence Protection to inform the complainant of available resources and assistance. While taking into consideration requested confidentiality, the Office of Victim Advocacy and Violence Prevention may serve as a liaison between the complainant and the Title IX Coordinator during the investigation.

d. *Formal Complaint and Investigation.*

Formal Complaint. To begin the investigation process, the complainant should submit a signed, written statement setting out the details of the conduct that is the subject of the complaint, including the complainant's name, signature, and contact information; the name of the person directly responsible for the alleged violation; a detailed description of the

conduct or event that is the basis of the alleged violation; the date(s) and location(s) of the occurrence(s); the names of any witnesses to the occurrence(s); the resolution sought; and any documents or information that is relevant to the complaint. UTRGV may initiate an investigation regardless of the manner in which a complaint is received or whether a complaint is received at all. However, the complainant is strongly encouraged to file a written complaint. If the complaint is not in writing, the investigator should prepare a statement of what the investigator understands the complaint to be and ask the complainant to verify that statement. The UTRGV office receiving the complaint should refer the complaint to the Title IX Coordinator.

Investigation.

- i)* An investigator will be assigned to investigate the complaint.
- ii)* As part of the investigation process, the complainant and the respondent will be provided notice of the complaint and allowed a reasonable time to respond in writing.
- iii)* The complainant and the respondent may present any document or information that is believed to be relevant to the complaint.
- iv)* Persons thought to have information relevant to the complaint will be interviewed, and those interviews will be appropriately documented. Both the respondent and the complainant may recommend witnesses for interview and suggest questions that should be asked. Neither the complainant nor the respondent will normally attend these interviews or the gathering of evidence; however, if either one is permitted to attend, the other shall have the same right.
- v)* The investigation of a complaint will be concluded as soon as possible after receipt of the written complaint. In investigations exceeding 60 days, a justification for the delay will be presented to and reviewed by the Title IX Coordinator or supervisor. The complainant, respondent, and supervisor should be provided updates on the progress of the investigation and issuance of the report.
- vi)* After the investigation is complete, a written report⁸ will be issued to the Title IX Coordinator and the appropriate administrator. The appropriate administrator will depend on the status of the respondent (i.e., student, faculty or employee). The report shall include factual findings and a preliminary conclusion of whether a policy violation occurred (based on a “preponderance of the evidence” standard).
- vii)* After the written report is completed, the complainant and respondent will be allowed to inspect the report or, at UTRGV’s discretion, provided letters summarizing the findings in the report in keeping with FERPA and Texas Education Code, Section 51.971. If a letter is provided, it will contain enough detail to allow the complainant and respondent to comment on the adequacy of the investigation. Each will have seven (7) business days from the date of receipt (as indicated on the return receipt) to submit written comments regarding the investigation to the Title IX Coordinator.
- viii)* Within seven (7) business days after the deadline for receipt of comments from the complainant and respondent, the Title IX Coordinator or designee will: (1) request further investigation into the complaint; (2) dismiss the complaint if it is determined that no violation of policy or inappropriate conduct occurred; or (3) find that the

⁸ Appropriate report redactions will be made to comply with Texas Education Code, Section 51.971.

policy was violated. A decision that the policy was violated shall be based on the record.

- ix) If the Title IX Coordinator or designee determines that the policy was violated, the Title IX Coordinator or designee will refer the matter for disciplinary action under the applicable disciplinary policies and procedures, which depend on the status of the respondent (i.e., student, faculty or employee).
- ix) The complainant and the respondent shall be informed concurrently in writing of the decision in accordance with this policy.
- x) The appropriate administrator will impose disciplinary action or sanction(s) in accordance with the applicable policies and procedures dependent on the status of the respondent (i.e., student, faculty or employee).

e. Standard of Proof.

All investigations under this policy will use the preponderance of the evidence standard to determine violations of this policy.

f. Timelines.

Barring any unforeseen and reasonable delays, UTRGV will endeavor to resolve complaints under this policy no later than 60 calendar days after the initial report was received by the Responsible Employee. If the investigation and resolution exceeds 60 calendar days, UTRGV will notify all parties in writing of the reason for the delay and the expected time frame adjustment. Best efforts will be made to complete the process in a timely manner by balancing principles of thoroughness and fundamental fairness with promptness.

At the request of law enforcement, UTRGV may defer its fact-gathering until after the initial stages of a criminal investigation. UTRGV will nevertheless communicate with the complainant regarding Title IX rights, procedural options, the status of the investigation, and the implementation of interim measures to ensure the complainant's safety and well-being. UTRGV will also communicate with the respondent regarding Title IX rights, procedural options and information regarding the status of the investigation. UTRGV will promptly resume its fact-gathering as soon as law enforcement has completed its initial investigation, or if the fact-gathering is not completed in a reasonable time.

The filing of a complaint under this policy does not excuse the complainant from meeting time limits imposed by outside agencies. Likewise, the applicable civil or criminal statute of limitations will not affect UTRGV's investigation of the complaint.

g. Remedies.

In addition to sanctions that may be imposed pursuant to the appropriate disciplinary policy, UTRGV will take appropriate action(s), including but not limited to those below to resolve complaints of sexual misconduct, prevent any recurrence and, as appropriate, remedy any effects:

- i) Imposing sanctions against the respondent, including attending training, suspension, termination or expulsion;

- ii) Ensuring the complainant and respondent do not share classes, working environments or extracurricular activities;
- iii) Making modifications to the on campus living arrangements of the respondent or complainant (if the complainant requests to be moved);
- iv) Providing comprehensive, holistic victim services including medical, counseling and academic support services, such as tutoring;
- v) Providing the complainant extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;
- vi) Determining whether sexual misconduct adversely affected the complainant's standing at UTRGV;
- vii) Designating an individual specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist victims whenever needed;
- viii) Conducting, in conjunction with UTRGV leaders, a UTRGV climate check to assess the effectiveness of efforts to ensure that UTRGV is free from sexual misconduct, and using that information to inform future proactive steps that UTRGV will take;
- ix) Providing targeted training for a group of students if, for example, the sexual misconduct created a hostile environment in a residence hall, fraternity or sorority, or on an athletic team. Bystander intervention and sexual misconduct prevention programs may be appropriate;
- x) Issuing policy statements or taking other steps to clearly communicate that UTRGV does not tolerate sexual misconduct and will respond to any incidents and to any individual who reports such incidents.

These remedies are separate from, and in addition to, any interim measures that may have been provided before the end of UTRGV's investigation. If the complainant did not take advantage of a specific service (e.g., counseling) when offered as an interim measure, the complainant should still be offered, and is still entitled to, appropriate final remedies that may include services the complainant declined as an interim measure. A refusal at the interim stage does not mean the refused service or set of services should not be offered as a remedy.

h. Sanctions and Discipline.

Disciplinary action against faculty and employees will be handled under UTRGV's policies for discipline and dismissal of faculty and employees. Disciplinary actions may include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, and dismissal. The Dean of Students or designee will impose disciplinary action, if any, against a student under UTRGV's student disciplinary procedures. Student disciplinary actions may include, but are not limited to, probation, suspension, or expulsion. See STU 02-100 Student Conduct and Discipline for additional information.

In accordance with federal law, when disciplinary action is commenced because of a violation of this policy, the above policies will provide both parties equal opportunities in all aspects of the process including notices and advisor representation. Further, the standard of proof in determining the outcome will be the "preponderance of the evidence," as defined in this policy.

5. *Provisions Applicable to the Investigation.*

- a. Assistance. During the investigation process, a complainant or respondent may be assisted by an advisor, who may be an attorney; however, the advisor may not actively participate in a meeting or interview.
- b. Time Limitations. Time limitations in these procedures may be modified by the Title IX Coordinator or appropriate administrator on a written showing of good cause by the complainant, respondent, or UTRGV.
- c. Concurrent Criminal or Civil Proceedings. UTRGV will not wait for the outcome of a concurrent criminal or civil justice proceeding to take action. UTRGV has an independent duty to investigate complaints of sexual misconduct. (Except as provided in Sec. E.4.g).
- d. Documentation. UTRGV shall document complaints and their resolution and retain copies of all materials in accordance with state and federal records laws and UTRGV policy.

6. *Dissemination of Policy and Educational Programs.*

- a. This Policy will be made available to all UTRGV administrators, faculty, staff, and students online and in UTRGV publications. Periodic notices will be sent to UTRGV administrators, faculty, staff and students about UTRGV's Sexual Harassment and Sexual Misconduct Policy. The notice will include information about sexual misconduct, including the complaint procedure, and about UTRGV disciplinary policies and available resources, such as support services, health, and mental health services. The notice will specify the right to file a complaint under this policy and with law enforcement and will refer individuals to designated offices or officials for additional information.
- b. Ongoing Sexual Misconduct Training. UTRGV's commitment to raising awareness of the dangers of sexual misconduct includes offering ongoing education through annual training and lectures by faculty, staff, mental health professionals, or trained UTRGV personnel. UTRGV will periodically educate and train employees and supervisors regarding the policy and conduct that could constitute a violation of the policy. Preventive education and training programs will be provided to UTRGV administrators, faculty, staff, and students and will include information about risk reduction, including bystander intervention. Training on sexual harassment and sexual violence policy and procedures will be provided to law enforcement personnel, including training on their obligation to advise UTRGV administrators, faculty, staff, and students of their rights to file a complaint under this policy and their right to file a criminal complaint.
- c. Training of Coordinators, Investigators, Hearing and Appellate Authorities. All Title IX Coordinators, Deputy Coordinators, investigators, and those with authority over sexual misconduct hearings and appeals shall receive training each academic year about offenses, investigatory procedures, due process, and UTRGV policies related to sexual misconduct.

7. *Additional Conduct Violations.*

- a. Retaliation. Any administrator, faculty member, student or employee who knowingly and intentionally retaliates in any way against an individual who has brought a complaint under this policy, participated in an investigation or disciplinary process of such a complaint, or opposed any unlawful practice, is subject to disciplinary action up to and including dismissal or separation from UTRGV.
- b. False Complaints. Any person who knowingly and intentionally files a false complaint under this policy is subject to disciplinary action up to and including dismissal or separation from UTRGV. A finding of non-responsibility does not indicate a report was false.
- c. Interference with an Investigation. Any person who knowingly and intentionally interferes with an ongoing investigation conducted under this policy is subject to disciplinary action up to and including dismissal or separation from UTRGV. Interference with an ongoing investigation may include, but is not limited to:
 - i) Attempting to coerce, compel, or prevent an individual from providing testimony or relevant information;
 - ii) Removing, destroying, or altering documentation relevant to the investigation; or
 - iii) Providing false or misleading information to the investigator, or encouraging others to do so.
- d. No Effect on Pending Personnel or Academic Actions Unrelated to the Complaint. The filing of a complaint under this policy will not stop or delay any action unrelated to the complaint, including: (1) any evaluation or disciplinary action relating to a complainant who is not performing up to acceptable standards or who has violated UTRGV rules or policies; (2) any evaluation or grading of students participating in a class, or the ability of a student to add/drop a class, change academic programs, or receive financial reimbursement for a class; or (3) any job-related functions of a UTRGV employee. Nothing in this section shall limit UTRGV's ability to take interim action.

8. *Documentation.*

UTRGV shall confidentially maintain information related to complaints under this policy, as required by law. The Title IX Coordinator will document each complaint or request for assistance under this policy, whether made by a victim, a third party, or anonymously, and will review and retain copies of all reports generated as a result of investigations. These records will be kept confidential to the extent permitted by law. Any person who knowingly and intentionally makes an unauthorized disclosure of confidential information contained in a complaint or otherwise related to the investigation of a complaint under this policy is subject to disciplinary action.

9. *Annual Reporting and Notice.*

UTRGV's Title IX General Policy Statement will be made available to all students, faculty, and employees online, in required publications and in specified departments. On an annual basis, and upon any updates to this policy, UTRGV will send notice of its compliance with Title IX as

required by law. The annual notice shall designate the Title IX Coordinator and Deputy Coordinators, explain which offenses are prohibited and where to report violations of this policy, provide information regarding victim resources, and provide a link to this policy and other related UTRGV websites.

F. Relevant Federal and/or State Statute(s), Board of Regents' Rule(s), UTS Policy(ies), and/or Coordinating Board Rule(s)

[Title IX of the Education Amendments of 1972, 20 U.S.C. § 1618 et seq., and its implementing regulation at 34 C.F.R. Part 106, which prohibit discrimination on the basis of sex.](#)

[Regents' Rules and Regulations, Rule 30105, Sexual Harassment, Sexual Misconduct, and Consensual Relationships](#)

[University of Texas System Administration Systemwide Policy \(UTS 184\), Consensual Relationships](#)

[Regents' Rules and Regulations, Rule 31008, Termination of a Faculty Member](#)

The University of Texas at San Antonio
Handbook of Operating Procedures
Chapter 9 – General Provisions

9.24 Sexual Harassment / Sexual Misconduct Policy

I. POLICY STATEMENT

The University of Texas at San Antonio is committed to maintaining a learning and working environment that is free from discrimination based on sex in accordance with Title IX of the Higher Education Amendments of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act).

Sexual Misconduct is a form of sex discrimination and will not be tolerated. As stated in the definitions, sexual misconduct includes sexual harassment, sexual violence, sexual assault, stalking, domestic violence and/or dating violence. Individuals who engage in sexual misconduct and other inappropriate sexual conduct will be subject to disciplinary action.

The University will take prompt disciplinary action against any individuals or organizations within its control who violate this Policy. The University encourages any student, faculty, staff or visitor to promptly report violations of this Policy to an individual identified as a Responsible Employee, as defined in Section VII.

II. RATIONALE

This policy is the principal prohibition of sexual harassment (including sexual violence), sexual misconduct, domestic violence, dating violence, and stalking regardless of where it occurs, including both on and off university property, if it potentially affects the alleged victim's education or employment.

III. SCOPE

This Policy applies to all University administrators, faculty, staff, students, and third parties within the University's control, including visitors and applicants for employment. It applies to conduct regardless of where it occurs, including off University property, if it potentially affects the complainant's education or employment with the University. It also applies regardless of the gender, gender identity or sexual orientation of the complainant or the respondent. In addition, it applies whether the complaint was made by or against a third party, and whether the complaint was made verbally or in writing.

IV. WEBSITE ADDRESS FOR THIS POLICY

<http://www.utsa.edu/hop/chapter9/9-24.html>

V. RELATED STATUTES, POLICIES, REQUIREMENTS OR STANDARDS

UTSA or UT System Policies or the Board of Regents' Rules & Regulations

- A. UT System Board of Regents' Rule 30105, *Sexual Harassment, Sexual Misconduct, and Consensual Relationships*
- B. UT System Administration policy, UTS184, *Consensual Relationships*
- C. UTSA HOP policy 9.01, [Nondiscrimination](#)
- D. UT System Board of Regents' Rule 31008, *Termination of a Faculty Member*
- E. UTSA HOP policy 3.03, *Discipline and Dismissal of Personnel*
- F. [UTSA Student Discipline Policy](#)

Relevant Federal Statutes and Other Policies & Standards

- A. Title VII of the Civil Rights Act of 1964, [42 U.S.C. §§2000e-2000e-17 and its implementing regulations 29 C.F.R. §1604.11](#).
- B. [Title IX of the Education Amendments of 1972, 20 U.S.C. §§ 1681-1688 and its implementing regulations, 34 C.F.R. Part 106](#)
- C. [Clery Act, 20 U.S.C 1092\(f\) and its implementing regulations 34 C.F.R. Part 668](#)
- D. [FERPA Regulations, 34 C.F.R. Part 99](#)

VI. CONTACTS

If you have any questions about HOP policy 9.24 Sexual Harassment / Sexual Misconduct, contact the following office:

Leonard Flaum, Title IX Coordinator
Office of Equal Opportunity Services
LEONARD.FLAUM@UTSA.EDU
Phone: (210) 458-4120
<http://www.utsa.edu/eos>

VII. DEFINITIONS

Consent: A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) intimidation, (d) coercion, (e) incapacitation or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to have sexual activity.

A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity.

The definition of consent for the crime of sexual assault in Texas can be found in Section 22.011(b) of the Texas Penal Code.ⁱ

Dating Violenceⁱⁱ: Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.

The existence of such a relationship shall be determined by the victim with consideration of the following factors:

- a) The length of the relationship;
- b) The type of relationship; and
- c) The frequency of interaction between the persons involved in the relationship

Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include acts covered under the definition of domestic violence.

Domestic (Family) Violenceⁱⁱⁱ – includes acts of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.

Hostile Environment – exists when sex-based harassment is sufficiently severe or pervasive to deny or limit the individual's ability to participate in or benefit from the University's programs or activities or an employee's terms and conditions of employment. A hostile environment can be created by anyone involved in a University's program or activity (e.g., administrators, faculty members, employees, students, and University visitors).

First Amendment Considerations: this Policy does not impair the exercise of rights protected under the First Amendment. The University's sexual Harassment policy prohibits only sex-based harassment that creates a hostile environment. In this and other ways, the University applies and enforces this Policy in a manner that respects the First Amendment rights of students, faculty, and others.

Incapacitation – A state of being that prevents an individual from having the capacity to give consent. For example, incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability.

Intimidation – Placing another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.

Other Inappropriate Sexual Conduct – Includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature directed towards another individual that does not rise to the level of sexual harassment but is unprofessional, inappropriate for the workplace or classroom and is not protected speech. It also includes consensual sexual conduct that is unprofessional and inappropriate for the workplace or classroom.

Preponderance of the Evidence: The greater weight of the credible evidence. Preponderance of the evidence is the standard for determining allegations of sexual misconduct under this Policy. This standard is satisfied if the action is deemed more likely to have occurred than not.

Responsible Employee: A University employee who has the duty to report incidents of Sexual Misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible Employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.5.

Retaliation: Any adverse action threatened or taken against someone *because* the individual has filed, supported, provided information in connection with a complaint of sexual misconduct or engaged in other legally protected activities. Retaliation includes, but is not limited to, intimidation, threats or harassment against any complainant, witness or third party.

Sexual Assault^{iv}: An offense that meets the definition of rape, fondling, incest, or statutory rape:

- a) *Rape:* the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- b) *Fondling:* The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.
- c) *Incest:* Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- d) *Statutory Rape:* Sexual intercourse with a person who is under the statutory age of consent.

Sexual Exploitation – Occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit, or to benefit anyone other than the one being

exploited. Examples of sexual Exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material by email, text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity, letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.

Sexual Harassment – Unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when submission to such conduct is made either explicitly or implicitly a term or condition of a person's student status, employment, or participation in University activities; such conduct creates a Hostile Environment. Sexual Harassment is a form of sex discrimination that includes:

- a) Sexual violence, sexual assault, stalking, domestic violence and dating violence as defined herein.
- b) Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - i. unwelcome intentional touching; or
 - ii. deliberate physical interference with or restriction of movement.
- c) Verbal conduct not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic idea, including oral, written, or symbolic expression, including but not limited to:
 - i. explicit or implicit propositions to engage in sexual activity;
 - ii. gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;
 - iii. gratuitous remarks about sexual activities or speculation about sexual experiences;
 - iv. persistent, unwanted sexual or romantic attention;
 - v. subtle or overt pressure for sexual favors;
 - vi. exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars or other materials; or
 - vii. deliberate, repeated humiliation or intimidation based upon sex.

Sexual Misconduct: A broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to sexual assault, Sexual Violence, Sexual Exploitation, sexual Intimidation, Sexual Harassment, Domestic Violence, Dating Violence and Stalking. Sexual Misconduct can be committed by men or women, strangers or acquaintances, and can occur between or among people of the same or opposite sex.

Sexual Violence: Physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

Stalking^v: Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition--

- a) *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property.
- b) *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
- c) *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

Title IX Coordinator: The Title IX Coordinator is the senior University administrator who oversees the University's compliance with Title IX. The Title IX Coordinator is responsible for leading the administrative investigation of reports of Sexual Misconduct and is available to discuss options, provide support, explain University policies and procedures, and provide education on relevant issues. The Title IX Coordinator may designate one or more Deputy Title IX Coordinators.

UTSA's Title IX Coordinator and Deputy Coordinators are:

Leonard Flaum, Title IX Coordinator and Director of EOS
Esther Miller-Brown, Deputy Title IX Coordinator and Assistant Director EOS
Nina Sosa, Deputy Title IX Coordinator and Senior Equal Opportunity Investigator
Office of Equal Opportunity Services
North Paseo Building – NPB 5.130
Phone number: (210) 458-4120
EOS website: www.utsa.edu/eos

VIII. RESPONSIBILITIES

A. Applicants/Employees/Students/Visitors

1. Any person who believes that he or she has been subjected to Sexual Misconduct should immediately file a complaint with UTSA's Office of Equal Opportunity Services (the "EOS Office") and utilize the procedures set forth in this policy.
2. Individual(s) who witness or are aware of suspected incidents of Sexual Misconduct are strongly encouraged to immediately report the incident to the EOS Office.

B. Supervisor/Administrator/UTSA official

1. Every supervisor, administrator and UTSA official is responsible for promptly reporting to the EOS Office incidents of Sexual Misconduct that comes to their attention.

C. EOS Office

1. Determines what immediate and effective steps can be taken to end any Sexual Misconduct and protect the alleged victim. This includes taking interim steps during the investigation and any subsequent grievance or disciplinary process while protecting the rights of the accused individual. The EOS Office will coordinate with the appropriate administrative official to implement such steps.
2. Advises alleged victims of their right to file a complaint and/or to participate in the applicable student, faculty or staff discipline process. The EOS Office also must assess the best way to proceed in the event an alleged victim does not wish to file a complaint and/or participate in an investigation or subsequent disciplinary process so as to protect the alleged victim while also ensuring that UTSA maintains an environment free from prohibited discrimination and harassment.
3. Reviews and processes complaints of alleged Sexual Misconduct.
4. Consults with the UTSA Police Department (UTSAPD), as appropriate, in cases involving potential criminal conduct to determine if criminal authorities need to be notified.
5. Advises the alleged victim of the right to file a criminal complaint in cases involving potential criminal conduct.
6. Explains the resolution options available under the Informal and Formal processes, as outlined under Section IX of this policy, and proceeds accordingly.

D. The Title IX Coordinator. The **Director of Equal Opportunity Services** serves as UTSA's EEO Officer and Title IX Coordinator (see Section X below). The EEO Officer/Title IX Coordinator may be reached at 210-458-4120. The Title IX Coordinator

1. Investigates complaints of Sexual Misconduct.
2. Oversees Sexual Misconduct complaints and identifies and addresses any patterns or systemic problems.
3. Meets with students wanting to file complaints or seeking information.
4. Reviews cases brought before disciplinary committees to determine whether the complainant is entitled to a remedy under Title IX that was not available through the disciplinary process.
5. Ensures that periodic assessments are conducted of UTSA's sexual harassment programs, policies and procedures.

6. Ensures that UTSA has robust notice practices and education programs for students, faculty, and staff in accordance with Department of Education regulations and guidelines.

E. UTSA Police Department

1. Advises alleged victims of their right to file a Sexual Misconduct complaint under this policy.
2. Provides UTSA officials investigating Sexual Misconduct complaints access to any related UTSA law enforcement records as permitted by state and federal law and so long as it does not compromise any criminal investigation.

F. Student Counseling Services

1. Is available to all UTSA students, including victims of Sexual Harassment and intimate partner violence to provide such individuals with support and to advise them of their options under UTSA policy and procedures.

IX. PROCEDURES

A. Filing a Complaint and Reporting Violations

1. All administrators, faculty, staff, students, and third parties are strongly encouraged to immediately report any incidents of Sexual Misconduct to the Office of Equal Opportunity Services (EOS)

Individuals shall not be penalized, disciplined, or prejudiced who in good faith report a violation of policy, procedure or law.

- a. Anonymity. Individuals wishing to remain anonymous can file a complaint in any manner, including by telephone or written communication to EOS; however, electing to remain anonymous may greatly limit the University's ability to stop the conduct, collect evidence, or take effective action against individuals or organizations accused of violating the Policy.
- b. Confidentiality. The University has an obligation to maintain an environment free of sexual harassment and sexual violence, thus many University employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in strict confidence may use the resources outlined in Section 5 below, "Confidential Support and Resources".

- c. **Timeliness of Complaint.** Complaints should be reported as soon as possible after the complainant becomes aware of the inappropriate conduct. Delays in reporting can greatly limit the University's ability to stop the conduct, collect evidence, and/or take effective action against individuals or organizations accused of violating the Policy.
2. **Responsible Employees.** Incidents of Sexual Misconduct may also be reported to Responsible Employees. Responsible Employees who are made aware of incidents of Sexual Misconduct must immediately report those incidents to EOS. Responsible Employees can find contact information for EOS at the following website:
<https://www.utsa.edu/hop/chapter9/9-1.html>
3. **Reporting to Law Enforcement.** Complaints of Sexual Misconduct may also be made to The University of Texas at San Antonio Police Department (UTSAPD) at (210) 458-4242 (non-emergency) or 4911 (emergency on campus) or to other local law enforcement authorities 911 (emergency off campus). The UTSAPD can help individuals contact off campus law enforcement agencies if required or requested. Employees and students with protective or restraining orders relevant to a complaint are encouraged to provide a copy to the UTSA Police Department.

If a complaint of Sexual Misconduct is reported to the UTSAPD, it shall advise the complainant of his or her right to file a complaint under this Policy. To the extent allowed by law and University policy, the UTSAPD shall also notify EOS of the complaint, and provide EOS access to any related University law enforcement records, so long as doing so does not compromise any criminal investigation.

4. **Reporting to Outside Entities.** An individual wishing to make a complaint of Sexual Misconduct may also contact the U.S. Department of Education, Office for Civil Rights (OCR):

Office for Civil Rights
U.S. Department of Education
1999 Bryan Street, Suite 1620
Dallas, TX 75201-6810
Telephone: (214) 661-9600
Facsimile: (214) 661-9587

Employees may also contact the U.S. Equal Employment Opportunity Commission to complain of sex discrimination or sexual harassment:

U.S. Equal Employment Opportunity Commission
Dallas District Office
207 S. Houston Street, 3rd Floor
Dallas, TX 75202
Phone: (800) 669-4000
FAX: (214) 253-2720

Website: <http://www.eeoc.gov/employees/howtofile.cfm>

5. Confidential Support and Resources. Physical and mental health care professionals (including those who act in that role under the supervision of these individuals), are prohibited by confidentiality laws from reporting any information about an incident to anyone, in any way that identifies the victim, without the victim's permission. Thus, students may discuss an incident with a counselor in Counseling Services or a health care provider in Health Services, or an off-campus resource (i.e. rape crisis center, doctor, psychologist, etc.) without concern that the incident will be reported to the Title IX Coordinator or UTSAPD. Employees may also seek assistance from the Employee Assistance Program, their own personal health care provider, or an off-campus rape crisis resource without concern that the incident will be reported to the Title IX Coordinator or UTSAPD. The University and community resources that provide such services follow:

The UTSA Counseling Services: <http://www.utsa.edu/counsel/index.html>

Main Campus Location:

Rec Wellness Center - RWC 1.810

Phone: (210) 458-4140

Downtown Campus Location:

B.V. 1.308

Buena Vista Building

Phone: (210) 458-2930

The UTSA Student Health Services: <http://www.utsa.edu/health/>

Main Campus Location:

Recreation Wellness Center - RWC 1.500

Phone: (210) 458-4142

Downtown Campus Location:

Buena Vista Building (BV) 1.308

Phone: (210) 458-2930

Please refer to Off Campus Confidential Resource websites for information.

The Rape Crisis Center – San Antonio - <http://rapecrisis.com>

24-Hour Crisis Hotline: (210) 349-7273

7500 W US Hwy 90

San Antonio, TX 78227

Bexar County Family Justice Center: <http://www.bcfjc.org/contact.html>

Domestic Violence Assistance: <http://home.bexar.org/DA/DomesticViolence.html>

Protective Orders: <http://www.bcfjc.org/Legal.html>

General Office Phone: (210) 631-0100

Emergency: Dial 911

6. **Immunity.** In an effort to encourage reporting of Sexual Misconduct, the University may grant immunity from student disciplinary action to a person who voluntarily initiates a report of sexual misconduct or assists a complainant, if that person acts in good faith in reporting a complaint or participating in an investigation. This immunity does not extend to the person's own violations of this Policy.

B. Parties' Rights Regarding Confidentiality. The University has great respect for the privacy of the parties in a complaint. Under federal law, however, Responsible Employees who receive a report of sexual misconduct must share that information with EOS. Those individuals may need to act to maintain campus safety and must determine whether to investigate further under Title IX, regardless of the complainant's request for confidentiality. In the course of the investigation, the University may share information only as necessary with people who need to know to fulfill the purposes of this Policy and applicable law, such as investigators, witnesses, and the respondent.

1. **Retaliation.** The University will take all reasonable steps to ensure there is no retaliation against a complainant, respondent or any individuals engaged in this protected activity. An administrator, faculty member, student or employee who retaliates in any way against an individual who has brought a complaint pursuant to this policy or an individual who has participated in an investigation of such a complaint is subject to disciplinary action, including dismissal.
2. **Confidentiality for Student Records.** The University will comply with the Family Educational Rights and Privacy Act (FERPA), with Texas Education Code Sec. 51.971 and other confidentiality laws as they apply to Title IX investigations. To the extent possible, the University will also protect the privacy of all parties to a report of Sexual Misconduct.

C. Other Victim Resources

1. **Healthcare.** An individual who experiences any form of sexual, domestic, or dating violence is encouraged to seek immediate medical care. Also, preserving DNA evidence can be key to identifying the perpetrator in a sexual violence case. Victims can undergo a medical exam to preserve physical evidence with or without police involvement. If possible, this should be done immediately. If an immediate medical exam is not possible, individuals who have experienced a sexual assault may have a Sexual Assault Forensic Exam (SAFE) performed by a Sexual Assault Nurse Examiner (SANE) within 4 days of the incident. With the examinee's consent, the physical evidence collected during this medical exam can be used in a criminal investigation; however, a person may undergo a SAFE even without contacting, or intending to contact, the police. To undergo a SAFE, go directly to the emergency department of Methodist Specialty and Transplant Hospital in San Antonio or the nearest hospital that provides SAFE services.

For more information about the SAFE, see <http://hopelaws.org/> or <https://www.texasattorneygeneral.gov/victims/sapcs.shtml#survivors>. The cost of the forensic portion of the exam is covered by the law enforcement agency that is investigating the assault or, in cases where a report will not be made to the police, the Texas Department of Public Safety. This does not include fees related to medical treatment that are not a part of the SAFE.

Police Assistance. The University encourages individuals who have experienced sexual violence to make a report to the police. It is important to note that a police department's geographic jurisdiction depends on where the sexual violence occurred.

Reporting an assault to law enforcement does not mean that the case will automatically go to criminal trial or to a University disciplinary hearing. If the University police are called, a uniformed officer will be sent to the scene to take a detailed statement. A ride to the hospital may be provided by the police department counselor. A report may be filed with the University police even if the perpetrator/respondent was not a University student or employee. If the incident occurred in the City of San Antonio but off campus, a report may be filed with the San Antonio Police Department (SAPD), even if time has passed since the assault occurred. If a report is made to the police, a uniformed officer will usually be dispatched to the location to take a written report. UTSAPD can assist with providing information on how to file any protective orders. For further information, see the UTSAPD website: <http://www.utsa.edu/utsapd/>

Counseling and Other Services. A person who has experienced sexual violence is strongly encouraged to seek medical and psychological care. even if he or she does not plan to request a SAFE or report the assault to the police. They may be prescribed medications to prevent sexually transmitted infections and/or pregnancy if they seek medical assistance.

Medical care can be provided at UTSA Health Services (for students only), at a local emergency room, or by a private physician. Psychological support can be provided by UTSA's Counseling Services (students), or a referral through the Employee Assistance Program (employees), or a care provider of the individual's choosing.

2. Interim Measures and Ongoing Assistance. In addition to the services provided by on and off-campus providers, the University will take immediate and interim measures to assure the safety and well-being of the complainant, to maintain an environment free from harassment, discrimination or retaliation, and to protect the safety and well-being of community members.

For example, if the accused is an employee, interim action may include reassignment and suspension. If the accused is a student, interim action may include suspension, no contact orders, changing living arrangements, modifying the course schedule, or modifying other aspects of the educational environment. Interim action may also include allowing the complainant to move to a new residence hall, change work schedules, alter academic schedules, and withdraw from or retake a class without penalty. Moreover, the

University may be able to provide additional accommodations for a complainant while an investigation is pending.

D. Intake Procedures and Protocol

1. Key Officials in an Investigation

a. Title IX Coordinator.

b. Investigators. The Title IX Coordinator will ensure that complaints are properly investigated under this Policy. The Title IX Coordinator will also ensure that investigators are properly trained to conduct investigations that occur under this Policy. The Title IX Coordinator shall supervise and advise the Title IX investigators as necessary.

2. Assessment of Complaint. The Title IX Coordinator or designee will conduct a preliminary assessment of the complaint and determine whether a formal resolution or an informal resolution should occur. Informal resolution may be appropriate: With a complaint solely of sexual harassment, not including sexual violence as defined in this Policy; and when the complainant request an informal resolution or both parties are categorically similar (i.e. employee/employee or student/student).

3. Notification of University Offices Offering Assistance. After receiving a complaint, the Title IX Coordinator or Deputy Coordinators shall inform and provide the complainant contact information of available university resources and assistance. The Title IX Coordinator will take into consideration requested confidentiality.

4. Informal Resolution. A complainant may use this option instead of or before filing a formal complaint, but is not required to do so. Also, this option is not permitted for Sexual Assault or Sexual Violence cases. Anyone who believes that he or she has been subject to Sexual Misconduct may immediately file a formal complaint as described in Section IX.A of this Policy.

a. Informal Assistance. In certain complaints, an individual may not wish to file a formal complaint. If informal assistance is deemed appropriate by the Title IX Coordinator or Deputy Coordinators, the individual will be provided assistance in informally resolving the alleged sexual harassment. Assistance may include providing the complainant with strategies for communicating with the offending party that his or her behavior is unwelcomed and should cease, or directing a University official to inform the offending party to stop the unwelcomed conduct. However, the University may take more formal action, including disciplinary action, to ensure an environment free of sexual harassment, violence or misconduct.

b. Timeframe. Informal resolutions should be completed no later than 30 calendar days after the Title IX Coordinator receives the request for informal resolution.

c. Confidentiality and Documentation. The Title IX Coordinator will document and record informal resolutions. The EOS office will retain the documentation. If the individual's wish to remain anonymous limits the

University's ability to establish facts and eliminate the potential harassment, the University will attempt to find the right balance between the individual's desire for privacy and confidentiality and its responsibility to provide an environment free of sexual harassment.

5. Formal Complaint and Investigation.

- a. Formal Complaint. To begin the investigation process, the complainant should submit a signed, written statement setting out the details of the conduct that is the subject of the complaint, including the complainant's name, signature, and contact information; the name of the person directly responsible for the alleged violation; a detailed description of the conduct or event that is the basis of the alleged violation; the date(s) and location(s) of the occurrence(s); the names of any witnesses to the occurrence(s); the resolution sought; and any documents or information that is relevant to the complaint.

The University may initiate an investigation regardless of the manner in which a complaint is received or whether a complaint is received at all. However, the complainant is strongly encouraged to file a written complaint. If the complaint is not in writing, the investigator should prepare a statement of what he or she understands the complaint to be and ask the complainant to verify that statement. If a complaint is received by an individual other than the Title IX Coordinators, the individual receiving the complaint should refer the complaint to the Title IX Coordinators.

b. Investigation.

- i. An investigator will be assigned to investigate the complaint.
 - 1) Within ten (10) work days of receipt of a complaint, the EOS investigator, as appropriate, may either dismiss the complaint or authorize an investigation of the complaint. A complaint may be dismissed if the facts alleged in the complaint, even if taken as true, do not constitute Sexual Misconduct; the complaint fails to allege any facts that suggest Sexual Misconduct occurred; or the appropriate resolution or remedy has already been achieved, or has been offered and rejected.
 - 2) If it is determined that a complaint will not be investigated, the EOS Office will contact the complainant and/or send the complainant a notification letter explaining the reason for the dismissal. The complainant has 15 (fifteen) work days of the notification to appeal the decision not to proceed with a complaint investigation to the Chief Legal Officer. The written appeal must explain why the decision to dismiss the complaint was in error. The Chief Legal Officer will respond within twenty (20) work days of receipt of the appeal. The Chief Legal Officer's decision is final. If the decision to dismiss is overturned, the complaint is sent back to the EOS Office for

investigation in accordance with the procedures outlined in this policy.

- ii. As part of the investigation process, the complainant and the respondent will be provided notice of the complaint and allowed a reasonable time to respond in writing as determined by the EOS office.
- iii. The complainant and the respondent may present any document or information that is believed to be relevant to the complaint.
- iv. Persons thought to have relevant information to the complaint will be interviewed, and those interviews will be appropriately documented. Both the respondent and the complainant may recommend witnesses for interviews and suggest questions that should be asked. Neither the complainant nor the respondent will attend these interviews or the gathering of the evidence.
- v. The investigation of a complaint will be concluded as soon as possible after receipt of the written complaint. In investigations exceeding 60 calendar days, a justification for the delay will be presented and reviewed by the Chief Legal Officer. The complainant, respondent, and supervisor should be provided updates on the progress of the investigation and issuance of the report.
- vi. After the investigation is complete, a written report^{vi} will be issued to the appropriate administrator. The appropriate administrator will depend on the status of the respondent (i.e., student, faculty or employee). The report shall include a recommendation of whether a violation of the policy occurred, an analysis of the facts discovered during the investigation, any relevant evidence, recommended disciplinary action if a violation of the policy occurred, and any recommended remedial action (see a list of possible remedies for students at Appendix A.).
 - 1) Factual findings and a preliminary conclusion of whether a policy violation occurred shall be based upon a preponderance of the evidence standard. The EOS Office also may make recommendations to resolve any workplace issues it may discover during the investigation process regardless of whether Sexual Misconduct can be substantiated.
- vii. Notice to Employees: A copy of the report will be provided to the complainant, the respondent, and the vice president who has authority over the respondent. (The vice president may delegate responsibility for reviewing the EOS report and any submitted comments and taking the actions identified in (e) below.) The complainant and respondent have seven (7) work days from the date of the report to submit comments regarding the report to the appropriate vice president.

Notice to Students: In accordance with the Family Education Rights and Privacy Act (FERPA) and the Texas Education Code, Section 51.971, in complaints involving student-on-student conduct, neither

the complainant nor the respondent will receive a copy of the report. In keeping with FERPA and the Texas Education Code, Section 51.971, the student complainant and student respondent will be provided letters summarizing the findings and recommendations included in the report provided to the Dean of Students (DOS). The complainant and respondent will also be allowed to review the report. The complainant and respondent have seven (7) work days from the date of the report to submit comments regarding the report to the DOS. (Students can find additional information on the DOS review process in the Student Code of Conduct Sec. 801.)

- viii. Within ten (10) work days of receiving any comments submitted by the complainant or respondent, or, if no comments were submitted, within seven(7) work days of the date of the report, the appropriate vice president for staff who has authority over the respondent or the DOS for students will take one of the following actions:
 - 1) Notify both the complainant and respondent that a review is in progress;
 - 2) Request the EOS Office to do further investigation into the complaint;
 - 3) Dismiss the complaint if the results of the completed investigation are inconclusive or there is not a preponderance of the evidence (i.e., there is insufficient reasonable, credible evidence to support the allegations(s)); or
 - 4) Find that the policy was violated.
 - a) A decision that this policy was violated shall be made upon the record provided by the investigator and any comments submitted by the complainant or respondent; and shall be based on the totality of circumstances surrounding the conduct complained of, including but not limited to: the context of that conduct, its severity, frequency, whether it was physically threatening, humiliating, or was simply offensive in nature. Facts will be considered on the basis of what is reasonable to persons of ordinary sensitivity and not on the particular sensitivity or reaction of an individual.
 - b) If it is determined that the Policy was violated, the appropriate vice president for staff who has authority over the respondent or the DOS for students will refer the matter for disciplinary action under the applicable disciplinary policies and procedures. NOTE: Applicable disciplinary policies and procedures depend on the status of the respondent (i.e., student, faculty or employee).
- ix. Implementation of Disciplinary Action
 - 1) Staff and Faculty

- a) Implementation of disciplinary action against faculty and staff will be handled in accordance with UTSA's policy and procedures for discipline and dismissal of faculty and employees. Disciplinary actions can include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, and dismissal.
 - b) Both the complainant and the respondent shall be afforded an opportunity to appeal any disciplinary action imposed by utilizing the established policies governing such appeals:
 - 1. Faculty: HOP policy 2.34, *Faculty Grievance Procedure*
 - 2. Staff: HOP policy 3.04, *Discipline and Dismissal of Personnel*, or HOP policy 3.04, *Grievances of Non-Faculty Employees*
- 2) Students
- a) Implementation of disciplinary action against students will be referred to the Office of Student Conduct and Community Standards for processing in accordance with the Student Code of Conduct. The Student Code of Conduct is located in the UTSA Information Bulletin at www.utsa.edu/infoguide. Student disciplinary actions may include, but are not limited to, probation, suspension, or expulsion.
 - b) Both the complainant and the respondent shall be afforded an opportunity to appeal any disciplinary action imposed by utilizing the established policies governing such appeals:
 - 1. Students: Student Code of Conduct Section 701, et seq.

In accordance with federal law, when disciplinary action is commenced because of a violation of this Policy, the above policies will provide both parties equal opportunities in all aspects of the process including notices and advisor representation. Further, the standard of proof in determining the outcome will be the "preponderance of the evidence," as defined in this policy.

- 6. Standard of Proof. All investigations under this Policy will use the preponderance of the evidence standard to determine violations of this Policy.
- 7. Timelines. Barring any unforeseen and reasonable delays, the University will endeavor to resolve complaints under this Policy no later than 60 calendar days after the initial report was received by the Responsible Employee or the EOS office. Best efforts will be made to complete the process in a timely manner by balancing

principles of thoroughness and fundamental fairness with promptness.

At the request of law enforcement, the University may defer its fact-gathering until after the initial stages of a criminal investigation. The University will nevertheless communicate with the complainant regarding his/her Title IX rights, procedural options, the status of the investigation, and the implementation of interim measures to ensure his/her safety and well-being. The University will also communicate with the respondent regarding his/her Title IX rights, procedural options and information regarding the status of the investigation. The University will promptly resume its fact-gathering as soon as law enforcement has completed its initial investigation, or if the fact-gathering is not completed in a reasonable time.

The filing of a complaint under this Policy does not excuse the complainant from meeting time limits imposed by outside agencies. Likewise, the applicable civil or criminal statute of limitations will not affect the University's investigation of the complaint.

8. Remedies. In addition to Disciplinary Sanctions that may be imposed pursuant to the appropriate disciplinary policy, the University will take appropriate action(s), including but not limited to those below to resolve complaints of Sexual Misconduct, prevent any recurrence and, as appropriate, remedy any effects:
 - a. Ensuring the complainant and respondent do not share classes, working environments or extracurricular activities;
 - b. Making modifications to the on campus living arrangements of the respondent or complainant (if the complainant requests to be moved);
 - c. Providing comprehensive, holistic victim services including medical, counseling and academic support services, such as tutoring;
 - d. Providing the complainant extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;
 - e. Determining whether Sexual Misconduct adversely affected the complainant's university standing;
 - f. Designating an individual specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist victims whenever needed;
 - g. Conducting, in conjunction with University leaders, a University climate check to assess the effectiveness of efforts to ensure that the University is free from Sexual Misconduct, and using that information to inform future proactive steps that the University will take;
 - h. Providing targeted training for a group of students if, for example, the sexual harassment created a hostile environment in a residence hall, fraternity or sorority, or on an athletic team. Bystander intervention and sexual harassment/violence prevention programs may be appropriate;
 - i. Issuing policy statements or taking other steps to clearly communicate that the University does not tolerate Sexual Misconduct and will respond to any incidents and to an individual who reports such incidents.

These remedies are separate from, and in addition to, any interim measures that may have been provided before the end of the University's investigation. If the complainant did not take advantage of a specific service (e.g., counseling) when offered as an interim measure, the complainant should still be offered, and is still entitled to, appropriate final remedies that may include services the complainant declined as an interim measure. A refusal at the interim stage does not mean the refused service or set of services should not be offered as a remedy.

E. Provisions Applicable to the Investigation

1. Assistance. During the investigation process, a complainant or respondent may be assisted by an advisor, who may be an attorney; however, the advisor may not actively participate in any meeting or interview.
2. Time Limitations. Time limitations in these procedures may be modified by the Title IX Coordinator or appropriate administrator on a written showing of good cause by the complainant, respondent, or the University.
3. Concurrent Criminal or Civil Proceedings. The University will not wait for the outcome of a concurrent criminal or civil justice proceeding to take action. The University has an independent duty to investigate complaints of sexual misconduct. (Except as provided in Section D.7).
4. Documentation. The University shall document complaints and their resolution and retain copies of all materials in accordance with state and federal records laws and University policy.

F. Dissemination of Policy and Educational Programs

1. The Policy will be made available to all University administrators, faculty, staff, and students online at [<https://www.utsa.edu/hop/chapter9/9-1.html>] and in University publications. Periodic notices will be sent to University administrators, faculty, staff and students about the University's Sexual Misconduct Policy. The notice will include information about Sexual Misconduct, including the complaint procedure, and about University disciplinary policies and available resources, such as support services, health, and mental health services. The notice will specify the right to file a complaint under this Policy and with law enforcement and will refer individuals to designated offices or officials for additional information.
2. Ongoing Sexual Misconduct Training. The University's commitment to raising awareness of the dangers of Sexual Misconduct includes offering ongoing education through annual training of faculty, staff, mental health professionals, and students. The University will periodically educate and train employees and supervisors regarding the Policy and conduct that could constitute a violation of the Policy. Preventive education and training programs will be provided to University administrators, faculty, staff, and students and will include information about risk reduction, including bystander intervention. Training on Sexual Misconduct policy and procedures will be provided to law enforcement personnel, including training on their obligation to advise University administrators, faculty, staff, and students of their rights to file a complaint under this Policy and their right to file a criminal

complaint. [\[Link to web page with training provided \(Training and Development Link\)\]](#)

3. Training of Coordinators, Investigators, Hearing and Appellate Authorities. All Title IX Coordinators, Deputy Coordinators, investigators, and those with authority over Sexual Misconduct hearings and appeals shall receive training each academic year about offenses, investigatory procedures, due process, and University policies related to Sexual Misconduct.

G. Additional Conduct Violations

1. Retaliation. Any administrator, faculty member, student or employee who knowingly and intentionally retaliates in any way against an individual who has brought a complaint under this Policy, participated in an investigation or disciplinary process of such a complaint, or opposed any unlawful practice, is subject to disciplinary action up to and including dismissal or separation from the University.
2. False Complaints. Any person who knowingly and intentionally files a false complaint under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. A finding of non-responsibility does not indicate a report was false.
3. Interference with an Investigation. Any person who knowingly and intentionally interferes with an ongoing investigation conducted under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. Interference with an ongoing investigation may include, but is not limited to:
 - a. Attempting to coerce, compel, or prevent an individual from providing testimony or relevant information,
 - b. Removing, destroying, or altering documentation relevant to the investigation; or
 - c. Providing false or misleading information to the investigator, or encouraging others to do so.
4. No Effect on Pending Personnel or Academic Actions Unrelated to the Complaint. The filing of a complaint under this Policy will not stop or delay any action unrelated to the complaint, including:
 - a. Any evaluation or disciplinary action relating to a complainant who is not performing up to acceptable standards or who has violated University rules or policies;
 - b. Any evaluation or grading of students participating in a class, or the ability of a student to add/drop a class, change academic programs, or receive financial reimbursement for a class; or
 - c. Any job-related functions of a University employee. Nothing in the section shall limit the University's ability to take interim action.

H. Documentation

The University shall confidentially maintain information related to complaints under this Policy, as required by law. The Title IX Coordinator will document each complaint or request for assistance under this Policy, whether made by a victim, a third party, or anonymously, and will review and retain copies of all reports generated as a result of investigations. These records will be kept confidential to the extent permitted by law. Any

person who knowingly and intentionally makes an unauthorized disclosure of confidential information contained in a complaint or otherwise related to the investigation of a complaint under this Policy is subject to disciplinary action.

I. Annual Reporting and Notice.

The University's Title IX General Policy Statement will be made available to all students, faculty, and employees online, in required publications and in specified departments. On an annual basis, and upon any updates to this Policy, the University will send notice of its compliance with Title IX as required by law. The annual notice shall designate the Title IX Coordinator and Deputy Coordinators, explain which offenses are prohibited and where to report violations of this Policy, provide information regarding victim resources, and provide a link to this Policy and other related University websites.

X. SPECIAL INSTRUCTIONS FOR INITIAL IMPLEMENTATION

None (Update as needed)

XI. FORMS AND TOOLS/ONLINE PROCESSES

None (Update as needed)

ⁱ Texas Penal Code, Section 22.011(b) states that a sexual assault is without consent if: (1) the actor compels the other person to submit or participate by the use of physical force or violence; (2) the actor compels the other person to submit or participate by threatening to use force or violence against the other person, and the other person believes that the actor has the present ability to execute the threat; (3) the other person has not consented and the actor knows the other person is unconscious or physically unable to resist; (4) the actor knows that as a result of mental disease or defect the other person is at the time of the sexual assault incapable either of appraising the nature of the act or of resisting it; (5) the other person has not consented and the actor knows the other person is unaware that the sexual assault is occurring; (6) the actor has intentionally impaired the other person's power to appraise or control the other person's conduct by administering any substance without the other person's knowledge; (7) the actor compels the other person to submit or participate by threatening to use force or violence against any person, and the other person believes that the actor has the ability to execute the threat.

ⁱⁱ Dating Violence is defined by the Texas Family Code, Section 71.0021 as:

- (a) an act, other than a defensive measure to protect oneself, by an actor that:
 - (1) is committed against a victim:
 - (A) with whom the actor has or has had a dating relationship; or
 - (B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and
 - (2) is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or sexual assault.
- (b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:
 - (1) the length of the relationship;
 - (2) the nature of the relationship; and
 - (3) the frequency and type of interaction between the persons involved in the relationship.
- (c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b).

Texas Penal Code, Section 22.01 provides the criminal penalties associated with Dating Violence.

ⁱⁱⁱ Family Violence is defined by the Texas Family Code Section 71.004 as:

- (1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or sexual assault, but does not include defensive measures to protect oneself;
- (2) abuse, as that term is defined by Sections [261.001\(1\)\(C\)](#), (E), and (G), by a member of a family or household toward a child of the family or household; or
- (3) dating violence, as that term is defined by Section [71.0021](#).

Texas Penal Code Section 22.01 provides the criminal penalties associated with Domestic (Family) Violence.

^{iv} Sexual Assault is defined by Texas Penal Code, Section 22.011 as intentionally or knowingly:

- a) Causing the penetration of the anus or sexual organ of another person by any means, without that person's consent; or
- b) Causing the penetration of the mouth of another person by the sexual organ of the actor, without that person's consent; or
- c) Causing the sexual organ of another person, without that person's consent, to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor.

^v Stalking as defined by Texas Penal Code, Section 42.072 is when an individual on more than one occasion and pursuant to the same scheme or course of conduct that is directed specifically at another person, knowingly engages in conduct that:

- a) is considered harassment, or that the actor knows or reasonably should know the other person will regard as threatening:
 - i. bodily injury or death for the other person;
 - ii. bodily injury or death for a member of the other person's family or household or for an individual with whom the other person has a dating relationship; or
 - iii. that an offense will be committed against the other person's property;
- b) causes the other person, a member of the other person's family or household, or an individual with whom the other person has a dating relationship to be placed in fear of bodily injury or death or in fear that an offense will be committed against the other person's property, or to feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended; and
- c) would cause a reasonable person to:
 - i. fear bodily injury or death for himself or herself;
 - ii. fear bodily injury or death for a member of the person's family or household or for an individual with whom the person has a dating relationship;
 - iii. fear that an offense will be committed against the person's property; or
 - iv. feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended.

^{vi} Appropriate report redactions will be made to comply with Texas Education Code, Section 51.971.

2.4.3. Sexual Harassment Complaint, Investigation, and Grievance Procedures and Responsibilities

A. General Policy Statement and Policy Purpose.

1. The University of Texas at Tyler (the University) is committed to maintaining a learning and working environment that is free from discrimination based on sex in accordance with Title IX of the Higher Education Amendments of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act). Sexual misconduct is a form of sex discrimination and will not be tolerated. As stated in the definition, sexual misconduct includes sexual harassment, sexual violence, sexual assault, stalking, domestic violence and/or dating violence. Individuals who engage in sexual misconduct and other inappropriate sexual conduct will be subject to disciplinary action.
2. The University will take prompt disciplinary action against any individuals or organizations within its control who violate this Policy. The University encourages any student, faculty, staff or visitor to promptly report violations of this Policy to an individual identified in Section C.2.
3. The purpose of this policy is to set forth the procedures by which complaints or reports of sexual harassment and sexual misconduct will be resolved in a timely and equitable manner.

B. Applicability and Persons Affected.

1. This Policy applies to all University administrators, faculty, staff, students, and third parties within the University's control, including visitors and applicants for employment. It applies to conduct regardless of where it occurs, including off University property, if it potentially affects the complainant's education or employment with the University. It also applies regardless of the gender, gender identity or sexual orientation of the complainant or the respondent. In addition, it applies whether the complaint was made by or against a third party, and whether the complaint was made verbally or in writing.

C. Filing a Complaint and Reporting Violations.

1. All Members of the University Community, Third Party and Anonymous Complaints. All administrators, faculty, staff, students, and third parties are strongly encouraged to immediately report any incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct to the Title IX Coordinator or Deputy Coordinators.
 - a. Anonymity. Individuals wishing to remain anonymous can file a complaint in any manner, including by telephone or written communication with the Title IX Coordinator or a Deputy Coordinator; however, electing to remain anonymous may greatly limit the University's ability to stop the harassment, collect evidence, or take effective action against individuals or organizations accused of violating the Policy.

- b. Confidentiality. The University has an obligation to maintain an environment free of sex discrimination, thus many University employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in strict confidence may use the resources outlined in Section C.5.

- c. Timeliness of Complaint. Complaints should be reported as soon as possible after the complainant becomes aware of the inappropriate conduct. Delays in reporting can greatly limit the University's ability to stop the harassment, collect evidence, and/or take effective action against individuals or organizations accused of violating the Policy.

2. Responsible Employees. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees. A Responsible Employee is a University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section C.5. Responsible Employees can find contact information for the Title IX Coordinator and Deputy Coordinators at the following website:
<http://www.uttyler.edu/titleix/index.php>

3. Reporting to Law Enforcement. Complaints of sexual misconduct may also be made to The University of Texas at Tyler Police Department at 903-566-7300 (non-emergency) or 911 (emergency) or to the City of Tyler Police Department 903-531-1090 (non-emergency) or 911 (emergency) or to other local law enforcement authorities. The Title IX Deputy Coordinators can help individuals contact these law enforcement agencies. Employees and students with protective or restraining orders relevant to a complaint are encouraged to provide a copy to the University Police Department.

If a complaint of sexual misconduct is reported to the University Police Department, it shall advise the complainant of his or her right to file a complaint under this Policy. To the extent allowed by law and University policy, the University Police Department shall also notify the Title IX Coordinator of the complaint, and provide the Title IX Coordinator or the individual investigating the complaint access to any related University law enforcement records, so long as doing so does not compromise any criminal investigation.

4. Reporting to Outside Entities. An individual wishing to make a complaint may also contact the U.S. Department of Education, Office for Civil Rights (OCR) to complain of sex discrimination or sexual misconduct including sexual violence:
Office for Civil Rights
U.S. Department of Education
1999 Bryan Street, Suite 1620
Dallas, TX 75201-6810
Phone: (214) 661-9600
FAX: (214) 661-9587
5. Employees may also contact the U.S. Equal Employment Opportunity Commission to complain of sex discrimination

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or sexual harassment:
U.S. Equal Employment Opportunity Commission
Dallas District Office
207 S. Houston Street, 3rd Floor
Dallas, TX 75202
Phone: (800) 669-4000
FAX: (214) 253-2720

6. Confidential Support and Resources. Physical and mental health care professionals and pastoral counselors (including those who act in that role under the supervision of these individuals), are prohibited by confidentiality laws from reporting any information about an incident to anyone, in any way that identifies the victim, without the victim's permission. Thus, students may discuss an incident with a counselor in Counseling and Psychological Services, a health care provider in Health Services, the clergyperson of the student's choice, or an off-campus resource (i.e. rape crisis center, doctor, psychologist, etc.) without concern that the incident will be reported to the Title IX Coordinator. Employees may also seek assistance from the Employee Assistance Program, their own personal health care provider, the clergyperson of the employee's choice, or an off-campus rape crisis resource without concern that the incident will be reported to the Title IX Coordinator. The University and community resources that provide such services are:
On-Campus Confidential Resources:
University Health Clinic
3310 Patriot Dr. Tyler TX 75701
Office Hours: 8 a.m. - 5 p.m.
903-939-7870

Student Counseling Center
UC Room 3170
Office Hours: 8 a.m. - 5 p.m.
903-566-7254

Off-Campus Confidential Resources:
East Texas Crisis Center
Smith County
Phone: 903-509-2526
24/7 Crisis Line 903-595-5591,
1-800-333-0358

24/7 Domestic Violence Hotlines
1-800-799-7233 (national) 1-800-787-3224
24/7 Sexual Assault Hotline 1-800-656-HOPE (national)

Texas Bar Lawyer Referral, Legal Aid
205 W. 9th Street, Suite 110
Austin, TX 78701
800.204.2222, Ext.2146 (Texas Bar)
512-476-7244 (Legal Aid)
-Free legal service
-Legal clinics; legal advice

Employee Assistance Program through UT System
1-800- 346-3549
<http://www.livingwell.utsystem.edu/eap.htm>

7. Immunity. In an effort to encourage reporting of sexual misconduct, the University may grant immunity from student disciplinary action to a person who voluntarily initiates a report of sexual misconduct or assists a complainant, if that person acts in good faith in reporting a complaint or participating in an investigation. This

immunity does not extend to the person's own violations of this Policy.

8. Title IX Officer, Coordinator and Deputy Coordinators. The Title IX Officer, Coordinator and Deputy Coordinators are:
Dr. Howard Patterson
Title IX Officer
VP for Student Affairs
Phone: 903-566-7350

Ben Carter
Title IX Coordinator
Office of Human Resources
Phone: 903-565-5968
Email: bcarter@uttyler.edu

Ona Tolliver
Deputy Title IX Coordinator
Assistant Vice President for
Student Affairs and Dean of Students
Phone: 903-565-5651
Email: OTolliver@uttyler.edu

Stefani Webb
Deputy Title IX Coordinator
Athletics
Phone: 903-565-5980
Email: swebb@uttyler.edu

D. Parties' Rights Regarding Confidentiality.

The University has great respect for the privacy of the parties in a complaint. Under federal law, however, Responsible Employees who receive a report of sexual misconduct must share that information with the Title IX Coordinator and/or a Deputy Coordinator. Those individuals may need to act to maintain campus safety and must determine whether to investigate further under Title IX, regardless of the complainant's request for confidentiality.

In the course of the investigation, the University may share information only as necessary with people who need to know to fulfill the purposes of this Policy and applicable law, such as investigators, witnesses, and the respondent. The University will take all reasonable steps to ensure there is no retaliation against a complainant. The University will comply with the Family Educational Rights and Privacy Act (FERPA), with Texas Education Code Sec. 51.971 and other confidentiality laws as they apply to Title IX investigations. To the extent possible, the University will also protect the privacy of all parties to a report of sexual misconduct.

E. Victim Resources

1. Immediate Assistance.
 - a. Healthcare. An individual who experiences any form of sexual, domestic, or dating violence is encouraged to seek immediate medical care. Also, preserving DNA evidence can be key to identifying the perpetrator in a sexual violence case. Victims can undergo a medical exam to preserve physical evidence with or without police involvement. If possible, this should be done immediately. If an immediate medical exam is not possible, individuals who have experienced a sexual assault may have a Sexual Assault Forensic Exam (SAFE) performed by a Sexual Assault Nurse Examiner (SANE) within 4 days of the incident. With the

examinee's consent, the physical evidence collected during this medical exam can be used in a criminal investigation; however, a person may undergo a SAFE even without contacting, or intending to contact, the police. To undergo a SAFE, go directly to the emergency department of ETMC Tyler, Mother Frances Hospital Tyler, or the nearest hospital that provides SAFE services.

For more information about the SAFE, see

<http://hopelaws.org/> or

<https://www.texasattorneygeneral.gov/victims/sapes.shtml#survivor>.

The cost of the forensic portion of the exam is covered by the law enforcement agency that is investigating the assault or, in cases where a report will not be made to the police, the Texas Department of Public Safety. This does not include fees related to medical treatment that are not a part of the SAFE.

- b. Police Assistance. The University encourages individuals who have experienced sexual misconduct to make a report to the police. It is important to note that a police department's geographic jurisdiction depends on where the sexual misconduct occurred. If the incident occurred on the University campus, a report may be filed with the UT Tyler Police Department by calling 903-566-7300 or in person at UT Tyler Police Department headquarters at 3410 Varsity Drive Tyler, TX 75799, even if time has passed since the assault occurred.

The UT Tyler Police Department can also assist with filing any protective orders. Reporting an assault to law enforcement does not mean that the case will automatically go to criminal trial or to a University disciplinary hearing. If the University police are called, a uniformed officer will be sent to the scene to take a detailed statement. A ride to the hospital may be provided by a police department counselor. A report may be filed with the University police even if the assailant was not a University student or employee. If the incident occurred in the City of Tyler, but off campus, a report may be filed with the Tyler Police Department, even if time has passed since the assault occurred. If a report is made to the police, a uniformed officer will usually be dispatched to the location to take a written report.

- c. Counseling and Other Services. A person who has experienced sexual violence is strongly encouraged to seek medical and psychological care even if he or she does not plan to request a SAFE or report the assault to the police. He or she may be prescribed medications to prevent sexually transmitted infections and/or pregnancy even if the police are not contacted or if a SAFE is not performed.

Medical care can be provided at University Health Services (for students only), at a local emergency room, or by a private physician. Psychological support can be provided by the Student Counseling Center (students), Employee Assistance (employees), a referral through the Employee Assistance Program, or a care provider of the individual's choosing.

Students desiring counseling should contact:

The Student Counseling Center

UC Room 3170

Office Hours: 8 a.m. - 5 p.m.

903.566.7254

Faculty and staff should contact:

The Employee Assistance Program through UT System
1-800-346-3549

<http://www.livingwell.utsystem.edu/eap.htm>

2. Interim Measures and Ongoing Assistance. In addition to the services provided by on- and off-campus providers, the University will take immediate and interim measures to assure the safety and well-being of the complainant, to maintain an environment free from harassment, discrimination or retaliation, and to protect the safety and well-being of community members.

For example, if the accused is an employee, interim action may include reassignment and suspension. If the accused is a student, interim action may include suspension, no contact orders, changing living arrangements, modifying the course schedule, or modifying other aspects of the educational environment. Interim action may also include allowing the complainant to move to a new residence hall, change work schedules, alter academic schedules, and withdraw from or retake a class without penalty. Moreover, the University may be able to provide additional accommodations for a complainant while an investigation is pending.

F. Intake Procedures and Protocol.

1. Key Officials in an Investigation.
 - a. Title IX Coordinator. The Title IX Coordinator is the senior University administrator who oversees the University's compliance with Title IX. The Title IX Coordinator is responsible for leading the administrative investigation of reports of sexual misconduct and is available to discuss options, provide support, explain University policies and procedures, and provide education on relevant issues. The Title IX Coordinator may designate one or more Deputy Title IX Coordinators. Any member of the University community may contact the Title IX Coordinator with questions.
 - b. Investigators. The Title IX Coordinator will ensure that complaints are properly investigated under this Policy. The Title IX Coordinator will also ensure that investigators are properly trained at least annually to conduct investigations that occur under this Policy. The Title IX Deputy Coordinators shall supervise and advise the Title IX investigators when conducting investigations and update the Title IX Coordinator as necessary.
2. Assessment of Complaint.

The Title IX Coordinator or designee will conduct a preliminary assessment of the complaint and determine whether a formal resolution or an informal resolution should occur. Informal resolution may be appropriate:

- a. With a complaint solely of sexual harassment, not including sexual violence as defined in this Policy; and
 - b. When both parties are categorically similar (i.e. employee/employee or student/student).
3. Notification of University Offices Offering Assistance. After receiving a complaint, the Title IX Coordinator or Deputy Coordinator shall direct Student Services for students or Human Resources for employees to inform the complainant of available resources and assistance. While taking into consideration requested confidentiality, Student Services for students and the Human Resources

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office may serve as a liaison between the complainant and the Title IX Coordinator during the investigation.

4. Informal Resolution of Certain Sexual Harassment Complaints.

A complainant may use this option instead of or before filing a formal complaint, but is not required to do so. Also, this option is not permitted for sexual violence cases. Anyone who believes that he or she has been subject to sexual misconduct may immediately file a formal complaint as described in Section C of this Policy. An individual wishing to use the informal resolution process should contact the Title IX Coordinator.

- a. Informal Assistance. In certain sexual harassment complaints, an individual may not wish to file a formal complaint. If informal assistance is deemed appropriate by the Title IX Coordinator or designee, then the individual will be provided assistance in informally resolving the alleged sexual harassment. Assistance may include providing the complainant with strategies for communicating with the offending party that his or her behavior is unwelcomed and should cease, directing a University official to inform the offending party to stop the unwelcomed conduct, or initiating mediation. However, the University may take more formal action, including disciplinary action, to ensure an environment free of sexual harassment or sexual misconduct.
- b. Timeframe. Informal resolutions should be completed no later than 10 business days after the Title IX Coordinator receives the request for informal resolution.
- c. Confidentiality and Documentation. The University will document and record informal resolutions. The Title IX Coordinator will retain the documentation. If the individual's wish to remain anonymous limits the University's ability to establish facts and eliminate the potential harassment, the University will attempt to find the right balance between the individual's desire for privacy and confidentiality and its responsibility to provide an environment free of sexual harassment.

5. Formal Complaint and Investigation.

Formal Complaint. To begin the investigation process, the complainant should submit a signed, written statement setting out the details of the conduct that is the subject of the complaint, including the complainant's name, signature, and contact information; the name of the person directly responsible for the alleged violation; a detailed description of the conduct or event that is the basis of the alleged violation; the date(s) and location(s) of the occurrence(s); the names of any witnesses to the occurrence(s); the resolution sought; and any documents or information that is relevant to the complaint. The University may initiate an investigation regardless of the manner in which a complaint is received or whether a complaint is received at all. However, the complainant is strongly encouraged to file a written complaint. If the complaint is not in writing, the investigator should prepare a statement of what he or she understands the complaint to be and ask the complainant to verify that statement. The University office receiving the complaint should refer the complaint to the Title IX Coordinator.

Investigation.

- a. An investigator will be assigned to investigate the complaint.

- b. As part of the investigation process, the complainant and the respondent will be provided notice of the complaint and allowed a reasonable time to respond in writing.
- c. The complainant and the respondent may present any document or information that is believed to be relevant to the complaint.
- d. Persons thought to have information relevant to the complaint will be interviewed, and those interviews will be appropriately documented. Both the respondent and the complainant may recommend witnesses for interview and suggest questions that should be asked. Neither the complainant nor the respondent will normally attend these interviews or the gathering of evidence; however, if either one is permitted to attend, the other shall have the same right.
- e. The investigation of a complaint will be concluded as soon as possible after receipt of the written complaint. In investigations exceeding 60 days, a justification for the delay will be presented to and reviewed by the Title IX Coordinator or his/her supervisor. The complainant, respondent, and supervisor should be provided updates on the progress of the investigation and issuance of the report.
- f. After the investigation is complete, a written report will be issued to the Title IX Coordinator and the appropriate administrator. The appropriate administrator will depend on the status of the respondent (i.e., student, faculty or employee). The report shall include factual findings and a preliminary conclusion of whether a policy violation occurred (based on a "preponderance of the evidence" standard).
- g. After the written report is completed, the complainant and respondent will be allowed to inspect the report or, at the university's discretion, provided letters summarizing the findings in the report in keeping with FERPA and Texas Education Code, Section 51.971. If a letter is provided, it will contain enough detail to allow the complainant and respondent to comment on the adequacy of the investigation. Each will have 7 business days from the date of receipt (as indicated on the return receipt) to submit written comments regarding the investigation to the Title IX Coordinator.
- h. Within 7 business days after the deadline for receipt of comments from the complainant and respondent, the Title IX Coordinator or his or her designee will: (1) request further investigation into the complaint; (2) dismiss the complaint if it is determined that no violation of policy or inappropriate conduct occurred; or (3) find that the Policy was violated. A decision that the Policy was violated shall be based on the record.
- i. If the Title IX Coordinator or his or her designee determines that the Policy was violated, he or she will refer the matter for disciplinary action under the applicable disciplinary policies and procedures, which depend on the status of the respondent (i.e., student, faculty or employee).
- j. The complainant and the respondent shall be informed concurrently in writing of the decision in accordance with section F.5.g of this Policy.
- k. The appropriate administrator will impose disciplinary action or sanction(s) in accordance with the applicable policies and procedures dependent on the status of the respondent (i.e., student, faculty or employee).

6. Standard of Proof. All investigations under this Policy will use the preponderance of the evidence standard to determine violations of this Policy.
7. Timelines. Barring any unforeseen and reasonable delays, the University will endeavor to resolve complaints under this Policy no later than 60 calendar days after the initial report was received by the Responsible Employee. If the investigation and resolution exceeds 60 calendar days, the University will notify all parties in writing of the reason for the delay and the expected time frame adjustment. Best efforts will be made to complete the process in a timely manner by balancing principles of thoroughness and fundamental fairness with promptness.

At the request of law enforcement, the University may defer its fact-gathering until after the initial stages of a criminal investigation. The University will nevertheless communicate with the complainant regarding his/her Title IX rights, procedural options, the status of the investigation, and the implementation of interim measures to ensure his/her safety and well-being. The University will also communicate with the respondent regarding his/her Title IX rights, procedural options and information regarding the status of the investigation. The University will promptly resume its fact-gathering as soon as law enforcement has completed its initial investigation, or if the fact-gathering is not completed in a reasonable time. The filing of a complaint under this Policy does not excuse the complainant from meeting time limits imposed by outside agencies. Likewise, the applicable civil or criminal statute of limitations will not affect the University's investigation of the complaint.

8. Remedies. In addition to sanctions that may be imposed pursuant to the appropriate disciplinary policy, the University will take appropriate action(s), including but not limited to those below to resolve complaints of sexual misconduct, prevent any recurrence and, as appropriate, remedy any effects:
 - a. Imposing sanctions against the respondent, including attending training, suspension, termination or expulsion;
 - b. Ensuring the complainant and respondent do not share classes, working environments or extracurricular activities;
 - c. Making modifications to the on campus living arrangements of the respondent or complainant (if the complainant requests to be moved);
 - d. Providing comprehensive, holistic victim services including medical, counseling and academic support services, such as tutoring;
 - e. Providing the complainant extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;
 - f. Determining whether sexual misconduct adversely affected the complainant's university standing;
 - g. Designating an individual specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist victims whenever needed;
 - h. Conducting, in conjunction with University leaders, a University climate check to assess the effectiveness of efforts to ensure that the University is free from sexual misconduct, and using that information to inform future proactive steps that the University will take;

- i. Providing targeted training for a group of students if, for example, the sexual misconduct created a hostile environment in a residence hall, fraternity or sorority, or on an athletic team. Bystander intervention and sexual misconduct prevention programs may be appropriate;
- j. Issuing policy statements or taking other steps to clearly communicate that the University does not tolerate sexual misconduct and will respond to any incidents and to any individual who reports such incidents.

These remedies are separate from, and in addition to, any interim measures that may have been provided before the end of the University's investigation. If the complainant did not take advantage of a specific service (e.g., counseling) when offered as an interim measure, the complainant should still be offered, and is still entitled to, appropriate final remedies that may include services the complainant declined as an interim measure. A refusal at the interim stage does not mean the refused service or set of services should not be offered as a remedy.

9. Sanctions and Discipline. Disciplinary action against faculty and employees will be handled under the University's policies for discipline and dismissal of faculty and employees. Disciplinary actions may include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, and dismissal. The Dean of Students will impose disciplinary action, if any, against a student under the University's student disciplinary procedures. Student disciplinary actions may include, but are not limited to, probation, suspension, or expulsion.

HOP Policy 4.16.4 Discipline and Dismissal of Classified Employees

HOP Policy 3.1.11 Termination of Employment of a Faculty Member
Manual of Policies and Procedures for Student Affairs, Chapter 8, Student Conduct and Discipline

In accordance with federal law, when disciplinary action is commenced because of a violation of this Policy, the above policies will provide both parties equal opportunities in all aspects of the process including notices and advisor representation. Further, the standard of proof in determining the outcome will be the "preponderance of the evidence," as defined in this policy.

G. Provisions Applicable to the Investigation.

1. Assistance. During the investigation process, a complainant or respondent may be assisted by an advisor, who may be an attorney; however, the advisor may not actively participate in a meeting or interview.
2. Time Limitations. Time limitations in these procedures may be modified by the Title IX Coordinator or appropriate administrator on a written showing of good cause by the complainant, respondent, or the University.
3. Concurrent Criminal or Civil Proceedings. The University will not wait for the outcome of a concurrent criminal or civil justice proceeding to take action. The University has an independent duty to investigate complaints of sexual misconduct. (Except as provided in Sec. F.7).
4. Documentation. The University shall document complaints and their resolution and retain copies of all materials in

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accordance with state and federal records laws and University policy.

H. Dissemination of Policy and Educational Programs.

1. This Policy will be made available to all University administrators, faculty, staff, and students online at <http://www.uttyler.edu/ohr/hop/> and in University publications. Periodic notices will be sent to University administrators, faculty, staff and students about the University's Sexual Harassment/Sexual Misconduct Policy. The notice will include information about sexual misconduct, including the complaint procedure, and about University disciplinary policies and available resources, such as support services, health, and mental health services. The notice will specify the right to file a complaint under this Policy and with law enforcement and will refer individuals to designated offices or officials for additional information.
2. Ongoing Sexual Misconduct Training. The University's commitment to raising awareness of the dangers of sexual misconduct includes offering ongoing education through annual training and lectures by faculty, staff, mental health professionals, and/or trained University personnel. The University will periodically educate and train employees and supervisors regarding the Policy and conduct that could constitute a violation of the Policy. Preventive education and training programs will be provided to University administrators, faculty, staff, and students and will include information about risk reduction, including bystander intervention. Training on sexual harassment and sexual violence policy and procedures will be provided to law enforcement personnel, including training on their obligation to advise University administrators, faculty, staff, and students of their rights to file a complaint under this Policy and their right to file a criminal complaint. <http://www.uttyler.edu/compliance/training.php>
3. Training of Coordinators, Investigators, Hearing and Appellate Authorities. All Title IX Coordinators, Deputy Coordinators, investigators, and those with authority over sexual misconduct hearings and appeals shall receive training each academic year about offenses, investigatory procedures, due process, and University policies related to sexual misconduct.

I. Additional Conduct Violations.

1. Retaliation. Any administrator, faculty member, student or employee who knowingly and intentionally retaliates in any way against an individual who has brought a complaint under this Policy, participated in an investigation or disciplinary process of such a complaint, or opposed any unlawful practice, is subject to disciplinary action up to and including dismissal or separation from the University.
2. False Complaints. Any person who knowingly and intentionally files a false complaint under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. A finding of non-responsibility does not indicate a report was false.
3. Interference with an Investigation. Any person who knowingly and intentionally interferes with an ongoing investigation conducted under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. Interference with an ongoing investigation may include, but is not limited to:

- a. Attempting to coerce, compel, or prevent an individual from providing testimony or relevant information;
 - b. Removing, destroying, or altering documentation relevant to the investigation; or
 - c. Providing false or misleading information to the investigator, or encouraging others to do so.
4. No Effect on Pending Personnel or Academic Actions Unrelated to the Complaint. The filing of a complaint under this Policy will not stop or delay any action unrelated to the complaint, including: (1) any evaluation or disciplinary action relating to a complainant who is not performing up to acceptable standards or who has violated University rules or policies; (2) any evaluation or grading of students participating in a class, or the ability of a student to add/drop a class, change academic programs, or receive financial reimbursement for a class; or (3) any job-related functions of a University employee. Nothing in this section shall limit the University's ability to take interim action.

J. Documentation.

The University shall confidentially maintain information related to complaints under this Policy, as required by law. The Title IX Coordinator will document each complaint or request for assistance under this Policy, whether made by a victim, a third party, or anonymously, and will review and retain copies of all reports generated as a result of investigations. These records will be kept confidential to the extent permitted by law. Any person who knowingly and intentionally makes an unauthorized disclosure of confidential information contained in a complaint or otherwise related to the investigation of a complaint under this Policy is subject to disciplinary action.

K. Annual Reporting and Notice.

The University's Title IX General Policy Statement will be made available to all students, faculty, and employees online, in required publications and in specified departments. On an annual basis, and upon any updates to this Policy, the University will send notice of its compliance with Title IX as required by law. The annual notice shall designate the Title IX Coordinator and Deputy Coordinators, explain which offenses are prohibited and where to report violations of this Policy, provide information regarding victim resources, and provide a link to this Policy and other related University websites.

L. Definitions and Examples.

Consent – A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) intimidation, (d) coercion, (e) incapacitation or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to have sexual activity.

A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity.

The definition of consent for the crime of sexual assault in Texas can be found in Section 22.011(b) of the Texas Penal Code.

Dating Violence – Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.

The existence of such a relationship shall be determined by the victim with consideration of the following factors:

- a. The length of the relationship;
- b. The type of relationship; and
- c. The frequency of interaction between the persons involved in the relationship

Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include acts covered under the definition of domestic violence.

Domestic (Family) Violence – includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.

Hostile Environment – exists when sex-based harassment is sufficiently severe or pervasive to deny or limit the individual's ability to participate in or benefit from the University's programs or activities or an employee's terms and conditions of employment. A hostile environment can be created by anyone involved in a University's program or activity (e.g., administrators, faculty members, employees, students, and University visitors).

In determining whether sex-based harassment has created a hostile environment, the University considers the conduct in question from both a subjective and objective perspective. It will be necessary, but not adequate, that the conduct was unwelcome to the individual who was harassed. To conclude that conduct created or contributed to a hostile environment, the University must also find that a reasonable person in the individual's position would have perceived the conduct as undesirable or offensive.

To ultimately determine whether a hostile environment exists for an individual or individuals, the University considers a variety of factors related to the severity, persistence, or pervasiveness of the sex-based harassment, including: (1) the type, frequency, and duration of the conduct; (2) the identity and relationships of the persons involved; (3) the number of individuals involved; (4) the location of the conduct and the context in which it occurred; and (5) the degree to which the conduct affected an individual's education or employment.

The more severe the sex-based harassment, the less need there is to show a repetitive series of incidents to find a hostile environment. Indeed, a single instance of sexual assault may be sufficient to create a hostile environment. Likewise, a series of incidents may be sufficient even if the sex-based harassment is not particularly severe.

First Amendment Considerations: this Policy does not impair the exercise of rights protected under the First Amendment. The University's sexual misconduct policy prohibits only sex-based harassment that creates a hostile environment. In this and other ways, the University applies and enforces this Policy in a manner that respects the First Amendment rights of students, faculty, and others.

Incapacitation – A state of being that prevents an individual from having the capacity to give consent. For example, incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability.

Intimidation – Unlawfully placing another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.

Other Inappropriate Sexual Conduct – Includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature directed towards another individual that does not rise to the level of sexual harassment but is unprofessional, inappropriate for the workplace or classroom and is not protected speech. It also includes consensual sexual conduct that is unprofessional and inappropriate for the workplace or classroom.

Preponderance of the Evidence – The greater weight of the credible evidence. Preponderance of the evidence is the standard for determining allegations of sexual misconduct under this Policy. This standard is satisfied if the action is deemed more likely to have occurred than not.

Responsible Employee – A University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section C.5. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees.

Retaliation – Any adverse action threatened or taken against someone because the individual has filed, supported, provided information in connection with a complaint of sexual misconduct or engaged in other legally protected activities. Retaliation includes, but is not limited to, intimidation, threats or harassment against any complainant, witness or third party.

Sexual Assault – An offense that meets the definition of rape, fondling, incest, or statutory rape:

- a. Rape: the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.

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b. Fondling: The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.

c. Incest: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

d. Statutory Rape: Sexual intercourse with a person who is under the statutory age of consent.

Sexual Exploitation – Occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit, or to benefit anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material by email, text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity, letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.

Sexual Harassment – Unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when submission to such conduct is made either explicitly or implicitly a term or condition of a person's student status, employment, or participation in University activities; such conduct is sufficiently severe or pervasive that it interferes with an individual's education, employment, or participation in University activities, or creates an objectively hostile environment; or such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's education, employment, or participation in University activities, or creating an intimidating, hostile, or offensive environment. Sexual harassment is a form of sex discrimination that includes:

a. Sexual violence, sexual assault, stalking, domestic violence and dating violence as defined herein.

b. Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:

- i. unwelcome intentional touching; or
- ii. deliberate physical interference with or restriction of movement.

c. Verbal conduct not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic idea, including oral, written, or symbolic expression, including but not limited to:

- i. explicit or implicit propositions to engage in sexual activity;
- ii. gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;

iii. gratuitous remarks about sexual activities or speculation about sexual experiences;

iv. persistent, unwanted sexual or romantic attention;

v. subtle or overt pressure for sexual favors;

vi. exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars or other materials; or

vii. deliberate, repeated humiliation or intimidation based upon sex.

Sexual Misconduct – A broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual assault, sexual exploitation, sexual intimidation, sexual harassment, domestic violence, dating violence, and stalking. Sexual misconduct can be committed by men or women, strangers or acquaintances, and can occur between or among people of the same or opposite sex.

Sexual Violence – Physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

Stalking – Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition—

a. Course of conduct means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property.

b. Reasonable person means a reasonable person under similar circumstances and with similar identities to the victim.

c. Substantial emotional distress means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

M. Relevant Federal and State Statutes, and Standards.

Title IX of the Education Amendments of 1972, 20 U.S.C. §§ 1681–1688 and its implementing regulations, 34 C.F.R. Part 106

Title VII of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000e–2000e-17 and its implementing regulations 29 C.F.R. §1604 11.

Clergy Act, 20 U.S.C 1092(f) and its implementing regulations 34 C.F.R. Part 668

FERPA Regulations, 34 C.F.R. Part 99

N. Other Relevant Policies, Procedures, and Forms.

Regents' Rules and Regulations, Rule 30105, Sexual Harassment, Sexual Misconduct, and Consensual Relationships

University of Texas System Administration Systemwide Policy (UTS 184), Consensual Relationships

Regents' Rules and Regulations, Rule 31008, Termination of a Faculty Member

HOP Policy 4.16.4 Discipline and Dismissal of Classified Employees

Manual of Policies and Procedures for Student Affairs, Chapter 8, Student Conduct and Discipline

This policy shall be reviewed by the Director of Human Resources every five years or as Legislation changes.
Date Amended: October 19, 2015

O. Responsibility for Implementing this Policy.

1. The Title IX Officer oversees UT Tyler compliance efforts with regard to Title IX of the Education Amendments of 1972 and advises the President and Executive level leadership on the current climate of Title IX . This individual provides leadership and consultation for Title IX initiatives across UT Tyler and builds partnerships to facilitate a broad program. Further, this individual supervises the Title IX Coordinator to oversee UT Tyler's response and investigation of alleged violations of Title IX.
2. For complaints or reports alleging that University students or applicants for admission engaged in sexual harassment, Title IX Coordinator is charged with implementing this policy. For complaints alleging that faculty, staff, or other employees engaged in sexual harassment or sexual misconduct the Title Coordinator is charged with implementing this policy.
3. Title IX Coordinator is responsible for determining what immediate and effective steps can be taken to end any sexual harassment and protect the alleged victim. This includes taking interim steps during any grievance or disciplinary process while protecting the rights of the accused individual.
4. The Title IX Coordinator is responsible for advising alleged victims of their right to file a complaint with the appropriate student, faculty, or staff discipline process. Title IX Coordinator must also decide if a case should be referred to the appropriate discipline process if the alleged victim does not wish to file such a complaint.
5. In cases involving potential criminal conduct, the Title IX Coordinator shall determine, in consultation with University police, if criminal authorities need to be notified and must advise the alleged victim of their right to file a criminal complaint.
6. The Title IX Coordinator shall explain the options available under informal (Section F.4 above) and formal (Section F.5 above) processes.
7. Police Office Responsibilities:
 - a. In cases where an incident is reported to University police, the police must advise the alleged victims of their right to file a sexual harassment complaint under this policy.
 - b. University police shall provide University officials investigating sexual harassment complaints access to any related University law enforcement records as permitted by state and federal law and so long as it does not compromise any criminal investigation.

P. Review.

23. Contract (funds coming in) - U. T. Arlington: Sodexo Services of Texas Limited Partnership to provide concession operations and catering services

Agency: Sodexo Services of Texas Limited Partnership

Funds: Commissions or revenue expected to exceed \$1,000,000 over the contract period

Period: September 2, 2015 through September 1, 2022, with option to extend the term from year to year for a period of three years

Description: Sodexo Services of Texas Limited Partnership will provide full-service food, alcoholic beverage, and nonalcoholic beverage services for all concession operations campus-wide and catering services in College Park Center, Texas Hall, Maverick Stadium, Clay Gould Ballpark, and Allen Saxe Softball Field. For all other campus locations, U. T. Arlington reserves the right to offer for sale products and services that may be competitive or similar in nature to products and services offered by Sodexo through any of U. T. Arlington's present or future facilities.

24. Request for Budget Change - U. T. Arlington: New Hire with Tenure -- amendment to the 2015-2016 budget

The following Request for Budget Change (RBC) has been administratively approved by the Executive Vice Chancellor for Academic Affairs and is recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
College of Science					
Biology					
Associate Vice President for Research and Professor					
Jon Weidanz (T)	1/13-8/31	100	12	235,000	7381

25. Request for Budget Change - U. T. Arlington: Tenure Appointments -- amendment to the 2015-2016 budget

The following Requests for Budget Changes (RBC) have been administratively approved by the Executive Vice Chancellor for Academic Affairs and are recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
College of Education					
Educational Leadership and Policy Studies					
Vice President for Academic Planning and Strategic Partnerships and Professor					
Linda Johnsrud (T)	12/1-8/31	100	12	280,000	7386
College of Engineering					
Materials Science Engineering					
Vice President for Research and Professor					
Duane Dimos (T)	12/1-8/31	100	12	315,000	7385

26. Contract (funds coming in) - U. T. Austin: Amazon Pickup Points, Inc. will provide a website through which individuals may purchase personal items, with a share of revenues supporting U. T. Austin, and a merchandise pickup point location at the institution

Agency: Amazon Pickup Points, Inc. (Amazon)

Funds: Amazon will pay U. T. Austin a minimum royalty of \$125,000 per year for the first five years of the agreement; royalties thereafter are not guaranteed, but Amazon and U. T. Austin anticipate minimum royalty revenues in that range. Total agreement value is \$1,125,000, including \$625,000 in guaranteed minimum royalties over the initial five-year term and \$500,000 projected to be expended by Amazon to customize the space used at the institution.

Period: February 29, 2016 through February 28, 2021, with up to five one-year renewal terms

Description: Amazon will provide a co-branded Amazon-U. T. Austin subdomain within the "amazon.com" website through which members of the U. T. Austin community and the general public may purchase personal (non-University) items, with a share of revenues supporting U. T. Austin and the Division of Recreational Sports (RecSports). In support of the website, RecSports will provide a pick-up and return area with lockers within Gregory Gym for packages purchased through Amazon.

27. Contract (funds coming in) - U. T. Austin: Trademark License Agreement with Sports in Action, LLC, a Texas limited liability company, dba High Field Marketing, for use of certain University Interscholastic League trademarks and service marks

Agency: Sports in Action, LLC, dba High Field Marketing

Funds: High Field Marketing will pay U. T. Austin a royalty equal to 80% of cumulative adjusted gross revenue, with a guaranteed minimum royalty payment of \$500,000 each contract year. The total value of the agreement is not expected to exceed \$8,000,000.

Period: Initial Term: February 1, 2016 through August 31, 2018
Renewal Terms: Two additional two-year terms

Description: U. T. Austin will license High Field Marketing the rights to use certain University Interscholastic League (UIL) trademarks and service marks in connection with the operation by High Field Marketing of a marketing rights program related to UIL.

28. Contract (funds coming in and going out) - U. T. Austin: Flik International Corp., a wholly-owned subsidiary of Compass Group USA, Inc., will provide food and beverage items for faculty, staff, students, and invitees at a fixed cafeteria-style location and a faculty colloquium area, both located in the Education and Administration Building at the Dell Medical School; and nonexclusive catering services for the Dell Medical School

Agency: Flik International Corp. ("Flik")

Source of Funds: Auxiliary Funds

- Funds: Funds coming in to U. T. Austin:
- Estimated revenue for the 10-year period is \$4,882,712
 - Flik's Pre-Opening Expense Investment of \$85,540 to be used for expenditures related to commencing food services
- Funds going out to Flik:
- Management Fee - \$515,874 (estimated) over a period of 10 years
 - Advance of \$15,818 to Flik, which is equal to the estimated cost of two months of working capital needs for Flik
 - Estimated operating charges for a period of 10 years is \$4,275,994
- Period: Initial Term: March 1, 2016 through June 30, 2021
Renewal Term: Five possible renewal periods, each not to exceed one year
- Description: Flik will sell food and beverage items through a fixed cafeteria-style location and a faculty colloquium area, and provide nonexclusive catering services for the Dell Medical School. The agreement allows for additional food service locations to be operated by Flik at the Dell Medical School. This contract was competitively bid.

29. Contract (funds going out) - U. T. Austin: Services Agreement with Convergent Technologies LLC for change of electronic locks

- Agency: Convergent Technologies LLC
- Funds: \$2,026,171 through the life of the agreement. \$1,155,205 for the initial survey and changing more than 5,000 security devices. The remainder of the contract amount will be used for parts and materials, paint and repair, and changes beyond the original scope of work.
- Source of Funds: Unexpended Plant Funds
- Period: November 17, 2015 through November 31, 2017
- Description: Convergent Technologies LLC will provide turnkey remediation service to the Office of Information Technology Services for removal and replacement of approximately 5,000 building security system security devices and related infrastructure to support those devices. This contract was competitively bid.

30. Contract (funds going out) - U. T. Austin: TechComm Partners, Inc. will develop an online College and Career Readiness Math Professional Development Solicitation to design and develop virtual content and modules for the Charles A. Dana Center PK-12 Mathematics Professional Learning Initiative for the Department of Defense

Agency: TechComm Partners, Inc.

Funds: \$2,184,410 through the life of the agreement

Source of Funds: Federal Grant Funds

Period: November 16, 2015 through May 31, 2019

Description: TechComm Partners, Inc. will develop an online College and Career Readiness Math Professional Development Solicitation to design and develop virtual content and modules for the Charles A. Dana Center PK-12 Mathematics Professional Learning Initiative. The services are not being obtained under a competitive bidding process, but instead are being obtained as an exclusive acquisition.

31. Contract (funds going out) - U. T. Austin: To hire KPMG, LLP to help integrate the University Identity Access Management (IAM) Modernization Program Team for the implementation of SailPoint IdentityIQ

Agency: KPMG, LLP

Funds: The total cost for all deliverables in Phase 1, including optional post implementation support, is \$1,765,680; the estimated price for optional Phase 2 is \$1,400,000; the estimated price for optional Phase 3 is \$900,000 respectively.

The scopes of work for Phases 2 and 3 will be determined by U. T. Austin during Phase 1 and after U. T. Austin decides whether or not KPMG, LLP will be providing the services under Phases 2 and 3. The total value for all three phases of the agreement is \$4,065,680.

Source of Funds: Service Center Revenue derived from providing Information Technology Services to the campus

Period: November 16, 2015 through April 3, 2017 for Phase 1
 If U. T. Austin elects to have KPMG, LLP provide Optional Post Implementation Support and/or perform Phases 2 and 3 under the Statement of Work from the Deliverables Based Information Technology Services contract, then the agreement will be extended for two one-year terms, which could extend the agreement to 2019.

Description: KPMG, LLP will work with the U. T. Austin Identity Access Management (IAM) Modernization Program Team to establish and implement SailPoint IdentityIQ. The implementation will assist in the enabling of technologies to address gaps in IAM services. The implementation of SailPoint IdentityIQ will be completed in three phases, and phases two and three will be completed only if U. T. Austin decides to complete those phases with KPMG, LLP.

U. T. Austin contracted with KPMG, LLP using the contracts available through the Department of Information Resources (DIR). U. T. Austin solicited bids from two other vendors available under the DIR contracts. The current contract with KPMG, LLP stipulates that the agreement is not valid for amounts exceeding \$1,000,000 until approved by the U. T. System Board of Regents.

32. Contract (funds going out) - U. T. Austin: BFI Waste Services of Texas, L.P., dba Allied Waste Services, a Texas limited partnership, will provide solid waste and recycling services for areas managed by Division of Housing and Food Service (DHFS) and Facilities Services (FS)

Agency: BFI Waste Services of Texas, L.P., dba Allied Waste Services

Funds: Funds going out to BFI Waste Services of Texas, L.P., dba Allied Waste Services from DHFS:

The approximate total value of the Agreement with DHFS over the seven-year period is \$4,063,063.

First three-year term	
Recycling	\$ 519,739
Solid Waste	\$1,148,869

First two-year extension	
Recycling	\$ 363,817
Solid Waste	\$ 804,208

Second two-year extension	
Recycling	\$ 382,008
Solid Waste	\$ 844,419

Funds going out to BFI Waste Services of Texas, L.P., dba Allied Waste Services from FS:

The approximate total value of the agreement with FS over the seven-year period is \$1,386,917.

First three-year term	
Recycling	\$ 55,596
Solid Waste	\$ 510,446

First two-year extension	
Recycling	\$ 43,320
Solid Waste	\$ 357,312

Second two-year extension	
Recycling	\$ 45,063
Solid Waste	\$ 375,177

Source of Funds: For DHFS: Student Housing Revenue
For FS: University Operation Support Funds

Period: Initial Term from March 1, 2016 through February 29, 2019.
Two possible renewal periods, each not to exceed two years with an allowed increase of up to 5% at each renewal period only if justified by an increase in the Consumer Price Index for all Urban Consumers relating to fuel costs and labor costs.

Description: For DHFS:
BFI Waste Services of Texas, L.P., dba Republic Services of Austin, will collect, haul, and accept recycling and solid waste for select areas on campus, the University Apartments, and other locations designated by DHFS.

For FS:
BFI Waste Services of Texas, L.P., dba Republic Services of Austin, will collect, haul, and accept recycling and solid waste for select areas on campus, the J.J. Pickle Research Campus, and other locations designated by FS.

33. Request for Budget Change - U. T. Austin: New Hires with Tenure -- amendment to the 2015-2016 budget

The following Requests for Budget Changes (RBC) have been administratively approved by the Executive Vice Chancellor for Academic Affairs and are recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
Dell Medical School					
Department of Medicine					
Professor					
Steven Warach (T)	9/1-8/31	100	12	401,400	7366
Department of Internal Medicine					
Professor					
Thomas Yankeelov (T)	1/16-8/31	10	09	180,000	7367
Cockrell School of Engineering					
Department of Biomedical Engineering					
Professor					
Thomas Yankeelov (T)	1/16-8/31	90	09	180,000	7367

34. Request for Budget Change - U. T. Austin: Approval of Emeritus Titles

Susan B. Ardis, from Librarian III to Librarian Emerita, University of Texas Libraries (RBC No. 7436) -- amendment to the 2015-2016 budget

Klaus R. Bichteler, from Professor to Professor Emeritus, Department of Mathematics in the College of Natural Sciences (RBC No. 7409) -- amendment to the 2015-2016 budget

Frank B. Cross, from Professor to Professor Emeritus, in the School of Law (RBC No. 7413) -- amendment to the 2015-2016 budget

Nancy I. Elder, from Librarian III to Librarian Emerita, University of Texas Libraries (RBC No. 7437) -- amendment to the 2015-2016 budget

Robert Freeman, from Professor to Professor Emeritus, Department of Music in the College of Fine Arts (RBC No. 7414) -- amendment to the 2015-2016 budget

Rebecca Henderson, from Professor to Professor Emeritus, Department of Music in the College of Fine Arts (RBC No. 7415) -- amendment to the 2015-2016 budget

Jayadev Misra, from Professor to Schlumberger Centennial Chair Emeritus in Computer Sciences/Distinguished Teaching Professor Emeritus, Department of Computer Science in the College of Natural Sciences (RBC No. 7416) -- amendment to the 2015-2016 budget

David P. Neumeyer, from Professor to Professor Emeritus, Department of Music in the College of Fine Arts (RBC No. 7417) -- amendment to the 2015-2016 budget

James A. Nolen, Jr., from Distinguished Senior Lecturer to Distinguished Senior Lecturer Emeritus, Department of Finance in the McCombs School of Business (RBC No. 7438) -- amendment to the 2015-2016 budget

Jeffrey D. Vaaler, from Professor to Professor Emeritus, Department of Mathematics in the College of Natural Sciences (RBC No. 7418) -- amendment of the 2015-2016 budget

35. Employment Agreement - U. T. Austin: Assistant Football Coach Agreement for Sterlin H. Gilbert

The following Assistant Football Coach Employment Agreement has been approved by the Executive Vice Chancellor for Academic Affairs and is recommended for approval by the U. T. System Board of Regents. If the Agreement is approved, total compensation for the contract period for Sterlin H. Gilbert will be in excess of \$1 million. Such employment under the Agreement is subject to the Constitution and Bylaws of the National Collegiate Athletic Association, the Big 12, the Regents' *Rules and Regulations*, and the policies of The University of Texas at Austin (Regents' *Rules and Regulations*, Rule 10501, Section 2.2.12, Athletic Employment Agreements; and Rule 20204, Section 3, Board Approval). Any violation of the provisions of such constitution, bylaws, rules, regulations, or policies shall be grounds for suspension without pay and/or dismissal.

Item: Assistant Football Coach Agreement for Sterlin H. Gilbert

Proposed: **Guaranteed compensation:**

Annual Base Salary: \$850,000. The base salary will be reviewed at least annually and may be adjusted as deemed appropriate by the University.

Automobile: Courtesy dealer automobile or monthly allowance (\$7,500 value)

Social Club Membership: The University of Texas Golf Club

Relocation Housing Search: \$2,000 one-time, within 30 days of execution of the agreement

Nonguaranteed compensation:

Incentives:

- (a) \$20,000 in any contract year in which the team wins the Big 12 Championship;
- (b) \$20,000 in any contract year in which the team participates in a Bowl Game; and
- (c) an additional \$20,000 in any contract year in which the team wins in a Bowl Game.
- (d) \$30,000 in any contract year in which the team appears in one of the six (6) Major Bowls (Rose, Orange, Cotton, Sugar, Peach, and Fiesta); and
- (e) an additional \$30,000 in any contract year in which the team wins such Major Bowl.
- (f) \$40,000 in any contract year in which the team appears in the College Football Playoff Semi-Final game; and
- (g) an additional \$70,000 in any contract year in which the team wins the College Football Playoff Semi-Final game.
- (h) \$140,000 in any contract year in which the team wins the College Football Playoff National Championship game. However, if the team wins the College Football Playoff National Championship, then the Assistant Coach is not entitled to receive any incentives listed above in (f) and (g) related to the College Football Playoff Semi-Final game.
- (i) \$17,000 in any contract year in which the team is ranked second through fifth in the final national ranking by the Associated Press; or
- (j) \$10,000 in any contract year in which the team is ranked sixth through tenth in the final national ranking by the Associated Press.
- (k) \$25,000 in any contract year in which the Assistant Coach wins the Broyles Assistant Coach of the Year.

Source of funds: Intercollegiate Athletics Auxiliary Funds

Description: Agreement for employment of Sterlin H. Gilbert as Assistant Football Coach – Offensive Coordinator. Regents' *Rules and Regulations*, Rule 10501, Section 2.2.12(a), allows such hiring after appropriate consultation.

Period: December 12, 2015 through January 31, 2019

36. Employment Agreement - U. T. Austin: Assistant Football Coach Agreement for Matt G. Mattox

The following Assistant Football Coach Employment Agreement has been approved by the Executive Vice Chancellor for Academic Affairs and is recommended for approval by the U. T. System Board of Regents. If the Agreement is approved, total compensation for the contract period for Matt G. Mattox will be in excess of \$1 million. Such employment under the Agreement is subject to the Constitution and Bylaws of the National Collegiate Athletic Association, the Big 12, the Regents' *Rules and Regulations*, and the policies of The University of Texas at Austin (Regents' *Rules and Regulations*, Rule 10501, Section 2.2.12, Athletic Employment Agreements; and Rule 20204, Section 3, Board Approval). Any violation of the provisions of such constitution, bylaws, rules, regulations, or policies shall be grounds for suspension without pay and/or dismissal.

Item: Assistant Football Coach Agreement for Matt G. Mattox

Proposed: **Guaranteed compensation:**

Annual Base Salary: \$550,000. The base salary will be reviewed at least annually and may be adjusted as deemed appropriate by the University.

Automobile: Courtesy dealer automobile or monthly allowance (\$7,500 value)

Social Club Membership: The University of Texas Golf Club

Relocation Housing Search: \$2,000 one-time, within 30 days of execution of the Agreement

Nonguaranteed compensation:

Incentives:

- (a) \$20,000 in any contract year in which the team wins the Big 12 Championship;
- (b) \$20,000 in any contract year in which the team participates in a Bowl Game; and
- (c) an additional \$20,000 in any contract year in which the team wins in a Bowl Game.
- (d) \$30,000 in any contract year in which the team appears in one of the six (6) Major Bowls (Rose, Orange, Cotton, Sugar, Peach, and Fiesta); and
- (e) an additional \$30,000 in any contract year in which the team wins such Major Bowl.
- (f) \$40,000 in any contract year in which the team appears in the College Football Playoff Semi-Final game; and
- (g) an additional \$70,000 in any contract year in which the team wins the College Football Playoff Semi-Final game.
- (h) \$140,000 in any contract year in which the team wins the College Football Playoff National Championship game.

However, if the team wins the College Football Playoff National Championship, then the Assistant Coach is not entitled to receive any incentives listed above in (f) and (g) related to the College Football Playoff Semi-Final game.

- (i) \$17,000 in any contract year in which the team is ranked second through fifth in the final national ranking by the Associated Press; or
- (j) \$10,000 in any contract year in which the team is ranked sixth through tenth in the final national ranking by the Associated Press.
- (k) \$25,000 in any contract year in which the Assistant Coach wins the Broyles Assistant Coach of the Year.

Source of funds: Intercollegiate Athletics Auxiliary Funds

Description: Agreement for employment of Matt G. Mattox as Assistant Football Coach. Regents' *Rules and Regulations*, Rule 10501, Section 2.2.12(a), allows such hiring after appropriate consultation.

Period: December 12, 2015 through January 31, 2019

37. Purchase - U. T. Austin: Authorization to purchase a total of approximately 368 acres of vacant land located along the east line of Old Antioch Road, south of Gotier Trace Road in Bastrop County, Texas, from PK Row Ltd. for the College of Natural Sciences, Section of Integrative Biology

Description: Purchase of approximately 368 acres of unimproved land located along the east line of Old Antioch Road, south of Gotier Trace Road in Bastrop County, Texas, and authorization for the Executive Director of Real Estate to execute all documents, instruments, and other agreements, and to take all further actions deemed necessary or advisable to purchase the property. The use is to supplement the existing research footprint for the Stengl Lost Pines Biological Station, which is a satellite facility of Brackenridge Field Laboratory, administered through the Section of Integrative Biology in the School of Biological Sciences.

Seller: PK Row Ltd., a domestic limited partnership

Purchase Price: Not to exceed fair market value as determined by an independent appraisal performed by The Aegis Group; appraisal confidential pursuant to *Texas Education Code* Section 51.951.

Source of Funds: Restricted Funds (Gifts)

38. Request for Budget Change - U. T. Dallas: Tenure Appointments -- amendment to the 2015-2016 budget

The following Requests for Budget Changes (RBC) have been administratively approved by the Executive Vice Chancellor for Academic Affairs and are recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
Erik Jonsson School of Engineering and Computer Science					
Mechanical Engineering					
Associate Professor					
Arif Malik (T)	9/1-5/31	100	09	112,000	7435
School of Behavioral and Brain Science					
Hearing Science					
Associate Professor					
Edward Lobarinas (T)	9/1-5/31	100	09	95,000	7432
Colleen Le Prell (T)	9/1-5/31	100	09	120,000	7431
	SUPL	100	12	12,000	
School of Economic, Political and Policy Sciences					
Economics					
Associate Professor					
Seth Giertz (T)	9/1-5/31	100	09	138,000	7430
Political Science					
Associate Professor					
Idean Salehyan (T)	9/1-5/31	100	09	113,000	7434

39. Request for Budget Change - U. T. Dallas: Approval of Emeritus Title of Duncan MacFarlane from Professor to Professor Emeritus, Department of Electrical Engineering in the Eric Jonsson School of Engineering and Computer Science (RBC No. 7427) -- amendment to the 2015-2016 budget

40. Contract (funds coming in and going out) - U. T. El Paso: Ticketmaster L.L.C. to provide computerized ticketing services

Agency: Ticketmaster L.L.C.

Source of Funds: Auxiliary Enterprise Funds

Funds: Funds coming in:
U. T. El Paso will receive rebates and commissions estimated at \$200,000 per year as revenue.

Funds going out:
License and Maintenance fees estimated at \$20,000 per year.

Period: February 5, 2016 through November 30, 2020, with options to renew for three additional one-year periods

Description: Ticketmaster L.L.C. to provide a computerized ticketing platform for the University Ticket Center, Athletic Season Ticket Office, University venue box offices, all satellite locations, and all authorized office workstations for the sale of tickets to individual, group, and season events. Tickets for events will be available for purchase through U. T. El Paso's on- and off-campus facilities, additional ticketing distribution sites (Outlet), telephone, and internet.

41. Request for Budget Change - U. T. El Paso: Tenure Appointment -- amendment to the 2014-2015 budget

The following Request for Budget Change (RBC) has been administratively approved by the Executive Vice Chancellor for Academic Affairs and is recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
School of Pharmacy					
School of Pharmacy Jose O. Rivera					7439
From: Director and Clinical Professor		100 0	12 09	127,436 75,637	
To: Founding Dean and Professor (T)	8/24-8/31	100 0	12 09	220,000 150,000	

42. Request for Budget Change - U. T. El Paso: Approval of Emeritus Titles

Roy M. Arrowood, from Associate Professor to Associate Professor Emeritus, Metallurgical and Materials Engineering Department in the College of Engineering (RBC No. 7492) -- amendment to the 2015-2016 budget

Antonio Gonzalez, from Associate Professor to Associate Professor Emeritus, Teacher Education Department in the College of Education (RBC No. 7442) -- amendment to the 2015-2016 budget

Ronald A. Hufstader, from Professor to Professor Emeritus, Music Department in the College of Liberal Arts (RBC No. 7444) -- amendment to the 2015-2016 budget

Don P. Schulte, from Associate Professor to Associate Professor Emeritus, Educational Leadership and Foundations Department in the College of Education (RBC No. 7440) -- amendment to the 2015-2016 budget

Richard D. Sorenson, from Associate Professor to Associate Professor Emeritus, Educational Leadership and Foundations Department in the College of Education (RBC No. 7441) -- amendment to the 2015-2016 budget

43. Request for Budget Change - U. T. Rio Grande Valley: New Hire with Tenure -- amendment to the 2015-2016 budget

The following Requests for Budget Changes (RBC) have been administratively approved by the Executive Vice Chancellor for Academic Affairs and are recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
College of Education and P-16 Integration					
Dean and Professor Patricia McHatton (T)	9/1-8/31	100	12	175,000	7406
College of Engineering and Computer Science					
Dean and Professor Alexander Domijan, Jr. (T)	9/1-8/31	100	12	220,000	7424
Electrical Engineering Professor Theresa Maldonado (T)	9/1-8/31	100	12	320,000	7425
Associate Professor Nantakan Wongkasem (T)	9/1-5/31	100	9	92,000	7229

College of Science

Dean and Professor Parwinder Grewal (T)	9/1-8/31	100	12	235,000	7405
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Honors College

Dean and Professor Mark Christian Andersen (T)	9/1-8/31	100	12	135,000	7426
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School of Medicine

Biomedical Sciences Professor Andreas Holzenburg (T)	9/1-8/31	100	12	225,000	7445
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Psychiatry Dean and Professor Francisco Fernandez (T)	9/1-8/31	100	12	547,826	7275
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44. Purchase - U. T. Rio Grande Valley: Authorization to purchase approximately 2.48 acres of land and improvements located at 826 and 835 East Levee Street, Brownsville, Cameron County, Texas, from Boulder Marketplace CWL, LLC, for future campus expansion

Description: Purchase of 18 city lots consisting of approximately 2.48 acres improved with a six story commercial office building with approximately 50,162 square feet located at 826 and 835 East Levee Street, Brownsville, Cameron County, Texas, for future campus expansion; and authorization for the Executive Director of Real Estate to execute all documents, instruments, and other agreements and to take all further actions deemed necessary or advisable to purchase these properties. This property is located approximately 2 miles from the Brownsville campus and will primarily be used to relocate administrative offices that had been displaced approximately 7 miles away during the split from Texas Southmost College. The size of the building and strategic proximity to the Brownsville campus will offer consolidation of administrative offices and potential classroom use.

Seller: Boulder Marketplace CWL, LLC, a Delaware limited liability company

Purchase Price: Not to exceed fair market value as determined by an independent appraisal performed by Aguirre & Patterson, Inc.; appraisal confidential pursuant to *Texas Education Code* Section 51.951.

Source of Funds: Unexpended Plant Funds

45. Contract (funds going out) - U. T. San Antonio: IMG Learfield Ticket Solutions, LLC to perform athletic ticket sales and marketing services

Agency: IMG Learfield Ticket Solutions, LLC, a Delaware limited liability company

Funds: An estimated \$4,500,000 for the initial term and both renewal terms. Service fees paid to IMG Learfield Ticket Solutions, LLC are based on a percent of ticket revenue actually paid to and received by U. T. San Antonio.

Source of Funds: Auxiliary Funds

Period: An initial 24-month term beginning October 31, 2015, with two additional 24-month renewals, at the option of U. T. San Antonio, for a total of four years.

Description: U. T. San Antonio is procuring athletic ticket sales and marketing services to support all U. T. San Antonio intercollegiate men's and women's athletic sport teams. U. T. San Antonio competitively procured these services.

46. Contract (funds coming in) - U. T. Tyler: Compass Group USA, Inc., by and through its Canteen Vending Services Division, to provide snack food vending machine services

Agency: Compass Group USA, Inc., by and through its Canteen Vending Services Division

Funds: Snack foods vending machine service agreement based on royalty from a 23% commission of gross sales. Estimated \$175,000 in gross sales and \$40,250 in royalty payments over the life of the contract, including all renewal options.

Period: February 11, 2016 through August 31, 2019, with option to extend for one additional two-year term

Description: Compass Group USA, Inc., by and through its Canteen Vending Services Division, to provide snack food vending machine services. In accordance with *Texas Education Code*, Section 51.945, the students were provided with an opportunity to comment prior to determination that this vending services provider should be selected by the institution. *Texas Government Code* Section 2203.005(a) requires all vending machine agreements to be approved by the Board.

47. Admissions Criteria - U. T. Tyler: Changes to Admission Criteria for Master of Science in Nursing (MSN) program

U. T. Tyler requests approval for changes to the criteria for admission into the Master of Science in Nursing (MSN) program as described below. The changes have been reviewed and administratively approved by the Executive Vice Chancellor for Academic Affairs and are recommended for approval by the U. T. System Board of Regents.

Summary of Changes to Admission Criteria

Currently, a satisfactory score on the verbal/quantitative portions of the Graduate Record Examination (GRE) is required for admission into the Master of Science in Nursing program. The entrance exam requirement is waived for MSN applicants with a grade point average of 3.2 or above for the last 60 semester credit hours of undergraduate course work. RN-MSN applicants are required to take the entrance exam.

The proposed changes would eliminate these requirements and instead allow students who do not meet the GPA requirement for Full admission to be granted Conditional admission based on satisfactory scores on the verbal/qualitative portions of the GRE. Typically, the program's admission committee expects GRE scores of at least 293 in the holistic review of applications with GPA below 3.0.

48. Request for Budget Change - U. T. Tyler: New Hires with Tenure -- amendment to the 2015-2016 budget

The following Requests for Budget Changes (RBC) have been administratively approved by the Executive Vice Chancellor for Academic Affairs and are recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
College of Pharmacy					
Pharmaceutical Sciences					
Associate Professor					
Leanne Merritt (T)	1/5-8/31	100	12	110,000	6983
Associate Professor					
David Pearson (T)	1/5-8/31	100	12	110,000	6984

49. Purchase - U. T. Tyler: Authorization to purchase approximately 7.725 acres and improvements at 3500 Old Omen Road, Tyler, Smith County, Texas, from University Christian Church (Disciples of Christ) for future programmed campus expansion

Description: Purchase of approximately 7.725 acres located at 3500 Old Omen Road, Tyler, Smith County, Texas, together with the improvements located on the land; and authorization for the Executive Director of Real Estate to execute all documents, instruments, and other agreements, and to take all further actions deemed necessary or advisable to purchase the property. The improvements consist of a one-story church building and related paved parking. The property, which is across Old Omen Road from the U. T. Tyler campus and is adjacent to the institution's Ornelas Activity Center and Innovation Academy, will be used for future programmed campus expansion.

U. T. Tyler will license-back use of the church to University Christian Church for approximately three hours each Sunday for a total of 16 weeks.

Seller: University Christian Church (Disciples of Christ), a domestic nonprofit corporation

Purchase Price: Not to exceed fair market value as established by independent appraisal, plus all due diligence expenses, closing costs, and expenses to complete the acquisition as deemed necessary by the Executive Director of Real Estate. The appraisal is confidential pursuant to *Texas Education Code* Section 51.951.

The license fee will be \$56 per week for a total of \$900 over the term of the license. This total will be credited to the Seller in the purchase contract.

Source of Funds: Designated Tuition

HEALTH AFFAIRS COMMITTEE

50. Other Matters - U. T. System Health Institutions: Approval of Sexual Harassment and Sexual Misconduct Policies

The following sexual harassment and sexual misconduct policies for the U. T. System health institutions have been reviewed by the Office of Health Affairs and the Office of General Counsel and found to be in compliance with applicable laws and regulations. The policies, on the following pages, are being submitted for Board approval as required by federal law as referenced in Regents' *Rules and Regulations*, Rule 30105. Approval by the Board is recommended by the Chancellor, the Deputy Chancellor, the Executive Vice Chancellor for Health Affairs, and the Vice Chancellor and General Counsel.

Health Institutions

Sexual Harassment and Sexual Misconduct Policies

U. T. Southwestern Medical Center, [Page 619](#)

U. T. Medical Branch - Galveston, [Page 654](#)

U. T. Health Science Center - Houston, [Page 672](#)

U. T. Health Science Center - San Antonio, [Page 683](#)

U. T. M. D. Anderson Cancer Center, [Page 711](#)

U. T. Health Science Center - Tyler, [Page 727](#)

UT SOUTHWESTERN POLICY HANDBOOK

EDU-116 SEX DISCRIMINATION – SEXUAL MISCONDUCT, HARASSMENT, AND VIOLENCE

CHAPTER 10: STUDENTS, POSTDOCTORAL SCHOLARS, RESIDENTS, AND FELLOWS

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Policy Rationale and Text
Scope
Procedures
Responsibilities
Definitions
Previous Handbook Policy
Related Statutes
Contacts/For Further Information

ADMINISTRATIVE INFORMATION

Responsible Office: Dean's Office
Executive Sponsor: Provost
Effective Date: December 21, 2012
Last Reviewed: June 23, 2015
Next Scheduled Review: June 23, 2020
Contact: policyoffice@utsouthwestern.edu

POLICY RATIONALE AND TEXT

UT Southwestern is committed to ensuring that its working, educational, and training environments are free from discrimination based on sex. In accordance with Title IX of the Higher Education Amendments of 1972, the Campus Sexual Violence Elimination Act, and other federal and state laws, sex discrimination is strictly prohibited at UT Southwestern. Sexual misconduct is a form of prohibited sex discrimination that includes sexual harassment, sexual violence, sexual assault, stalking, domestic violence, and dating violence. Retaliation against an individual who opposes a discriminatory practice, files an informal or formal complaint of sex discrimination, or testifies for, assists in, or participates in an investigation or other proceeding relating to sex discrimination is also strictly prohibited. Individuals who engage in conduct prohibited by this policy will be subject to disciplinary action, up to and including dismissal or non-renewal of appointment.

SCOPE

This policy applies to students, residents, and applicants to any UT Southwestern school or training program. All informal and formal complaints about sex discrimination brought by students, residents, or applicants will be handled in accordance with [EDU-116P-01 Sex Discrimination Complaint and Resolution Procedure](#).

This policy also applies to all full-time, part-time, and temporary employees; individuals holding a faculty appointment; applicants for employment; and any individual participating in UT Southwestern services, programs, or activities, including but not limited to patients, visitors, volunteers, contractors, and vendors. However, all complaints about sex discrimination or sexual misconduct brought by individuals other than students, residents, or applicants to any UT Southwestern school or training program will be referred to the Office of Diversity & Inclusion and Equal Opportunity in accordance with the applicable UT Southwestern policy and procedure (see [ETH-151 Equal Opportunity](#), [ETH-154 Sexual Harassment and Sexual Misconduct](#), and [ETH-151P-01 Equal Opportunity Complaint, Investigation, and Resolution Procedure](#)).

This policy applies regardless of the gender, gender identity, or sexual orientation of either the complainant or the respondent. It applies to conduct that occurs on and off UT Southwestern premises, and via telephonic or electronic means (e.g., text message, e-mail, social media, or instant messaging), if such conduct may have an adverse effect on the complainant's education or participation in UT Southwestern programs or activities.

PROCEDURES (INCLUDING LINKS TO RELATED DOCUMENTS)

Reporting Sex Discrimination to UT Southwestern

1. Anyone who witnesses or is aware of any known or suspected incidents of sex discrimination is strongly encouraged to promptly report the incident to UT Southwestern. Incidents involving a student, resident, or applicant should be reported to the [Title IX Coordinator or a Deputy Title IX Coordinator](#). Incidents involving individuals other than a student, resident, or applicant should be reported to the Office of Diversity & Inclusion and Equal Opportunity, Division of Equal Opportunity (see [ETH-151 Equal Opportunity](#) and [ETH-154 Sexual Harassment and Sexual Misconduct](#)).
2. Reports may also be made to a Responsible Employee, to the Office of Compliance, or to the Compliance Hotline. All Responsible Employees, as defined in this policy, must promptly report incidents of known or suspected sex discrimination involving a student, resident, or applicant to the [Title IX Coordinator or a Deputy Title IX Coordinator](#).
3. Any student, resident, or applicant with questions or concerns about sex discrimination is strongly encouraged to seek assistance from the [Title IX Coordinator or a Deputy Title IX Coordinator](#). Any student, resident, or applicant who believes that he or she has been subjected to conduct prohibited by this policy is urged to immediately submit a request to invoke the informal resolution process or submit a formal complaint to the Title IX Coordinator or a Deputy Title IX Coordinator in accordance with [EDU-116P-01 Sex Discrimination Complaint and Resolution Procedure](#).

Reporting Sexual Violence to Law Enforcement

1. Incidents of sexual violence (including domestic violence, dating violence, sexual assault, and stalking) that occurred on campus should be immediately reported to University Police at 214-648-8911 (emergency), 214-648-8311 (non-emergency), or via the online [Report a Crime](#) form.
2. Incidents of sexual violence occurring in other jurisdictions should be reported to the appropriate local law enforcement authority.
3. Individuals who witness or experience sexual violence are strongly encouraged to promptly report the incident to the appropriate law enforcement authority, regardless of whether the victim intends to pursue criminal charges.
4. Reporting sexual violence to law enforcement does not mean that the case will automatically go to criminal trial or to a UT Southwestern disciplinary proceeding. If a complaint of sexual violence is reported to University Police, the department will advise the complainant of his or her right to also submit a request to invoke the informal resolution process or submit a formal complaint to the Title IX Coordinator or a Deputy Title IX Coordinator in accordance with [EDU-116P-01 Sex Discrimination Complaint and Resolution Procedure](#).
5. To the extent permitted by law and UT Southwestern policy, University Police will also notify the Title IX Coordinator when a sexual violence complaint involving a student, resident, or applicant is received and will provide the Title IX Coordinator access to related law enforcement records, so long as such access will not compromise any criminal investigation.

Additional Procedures for Victims of Sexual Violence

1. Any victim who experiences any form of sexual assault is encouraged to seek immediate medical care. It is important to preserve all physical evidence and to get a medical exam, regardless of whether the victim intends to report a crime, notify the police, or press criminal charges.

2. Individuals who have experienced a sexual assault are encouraged to have a Sexual Assault Forensic Exam (SAFE) performed by a Sexual Assault Nurse Examiner (SANE) as soon as possible but no later than four (4) days after the incident. With the victim's consent, evidence collected during a SAFE can be used in a criminal investigation; however, a victim can undergo a SAFE even without contacting or intending to contact law enforcement. To undergo a SAFE, the individual should go directly to the emergency department of the nearest hospital that provides SAFE services. There are three hospitals in the city of Dallas equipped to offer SAFE services:
 - Parkland Hospital
 - THR Presbyterian Hospital of Dallas
 - Methodist Dallas

The cost of the forensic portion of the SAFE is covered by the law enforcement agency investigating the assault or, in cases where a report is not made to police, the Texas Department of Public Safety. This does not include the cost of medical treatment that is not part of the SAFE. More information may be found at: <http://hopelaws.org/> or <https://www.texasattorneygeneral.gov/victims/sapcs.shtml#survivors>.

3. An individual who has experienced a sexual assault but who does not plan to undergo a SAFE or report to police is strongly encouraged to seek medical attention and counseling. Counseling is available for students through Student Wellness and Counseling and for residents by contacting the Office of Graduate Medical Education.
4. For additional information and resources for individuals affected by sexual violence, please refer to [SEC-156 Violence on Campus](#) or contact the Title IX Coordinator, a Deputy Title IX Coordinator, the Office of Diversity & Inclusion and Equal Opportunity, or one of the other resources listed below.

Complaints

1. All informal and formal complaints about sex discrimination involving students, residents, or applicants to any UT Southwestern school or training program will be handled in accordance with [EDU-116P-01 Sex Discrimination Complaint and Resolution Procedure](#). If a final determination is made under EDU-116P-01 that this policy was violated, the individual who committed the violation will be subject to disciplinary action and sanctions, up to and including termination or non-renewal of appointment, in accordance with the applicable disciplinary policy.
2. Complaints of retaliation directed at students, residents, or applicants should be brought to the Title IX Coordinator or a Deputy Title IX Coordinator and will be handled in accordance with [EDU-116P-01 Sex Discrimination Complaint and Resolution Procedure](#).
3. Complaints about sex discrimination (including retaliation) brought by individuals other than students, residents, or applicants will be referred to the Office of Diversity & Inclusion and Equal Opportunity in accordance with the applicable UT Southwestern policy and procedure (see [ETH-151 Equal Opportunity](#), [ETH-154 Sexual Harassment and Sexual Misconduct](#), and [ETH-151P-01 Equal Opportunity Complaint, Investigation, and Resolution Procedure](#)).

Interim Measures and Ongoing Assistance

1. UT Southwestern's Title IX Coordinator and Deputy Coordinators are specially trained to provide education and support to individuals affected by sex discrimination, including assisting victims of sexual violence with obtaining medical or psychological treatment, reporting the incident to law enforcement, pursuing a formal complaint, and accessing support services and resources.
2. In addition to the resources and assistance available both on and off campus, UT Southwestern will take immediate interim measures, as appropriate, to ensure the safety and well-being of the complainant and the UT Southwestern

community and to maintain an environment free from sex discrimination. For example, if the respondent is an employee accused of sexual misconduct against a student, interim measures may include suspension or reassignment of the employee while the investigation is pending. If the respondent is a student accused of sexual misconduct against another student, interim measures may include changing the complainant's academic, living, transportation, and working situations; providing temporary or permanent on-campus housing or personal campus police escort services; or making changes to course schedules or clinical assignments.

3. The Title IX Coordinator and Deputy Coordinators have wide discretion to determine whether interim measures are needed, and if so, to decide what interim measures are appropriate. Interim measures will be kept as confidential as possible. Information about interim measures will only be shared on a need-to-know basis for legitimate purposes, e.g., implementing such measures and monitoring their effectiveness.

Ongoing Awareness and Training

This policy will be made available to all members of the UT Southwestern community online at <http://www.utsouthwestern.net/intranet/administration/policy-library/handbook/> and also through any of the campus resources listed below. Periodic notices will be sent to UT Southwestern administrators, faculty, staff, and students about this policy, including information about sexual misconduct, the complaint procedure, and applicable disciplinary policies and available resources, such as support, health, and mental health services.

UT Southwestern's commitment to raising awareness of the dangers of sexual misconduct includes offering ongoing education through annual campus-wide training regarding this policy and conduct that could constitute a violation of this policy, risk reduction, and strategies for appropriate bystander intervention. Preventive education and training are also available by contacting University Police or the Office of Diversity & Inclusion and Equal Opportunity. All Title IX Coordinators, Deputy Coordinators, investigators, and those with authority over sexual misconduct investigations and proceedings shall receive appropriate training about offenses, investigatory procedures, due process, and applicable UT Southwestern policies, procedures, and resources.

RESPONSIBILITIES

The [Title IX Coordinator and Deputy Title IX Coordinators](#) facilitate and oversee compliance with this policy; ensure that the working, educational, and training environments at UT Southwestern are free from sex discrimination; inform members of UT Southwestern about their rights and obligations under this policy; notify complainants of their right to bring a criminal complaint in addition to any request to invoke the informal resolution process or bring a formal complaint; receive and investigate complaints brought under this policy in the manner set forth in EDU-116P-01; help individuals who have experienced sex discrimination to access campus resources and identify options for bringing a complaint; and provide information and discuss concerns about sex discrimination. Any member of the UT Southwestern community may contact the Title IX Coordinator or a Deputy Title IX Coordinator with questions.

The [Office of Diversity & Inclusion and Equal Opportunity](#) refers students, residents, and applicants with concerns or complaints about sex discrimination to the Title IX Coordinator or a Deputy Title IX Coordinator; works with the Title IX Coordinator, Deputy Title IX Coordinators, and law enforcement, as appropriate, to ensure that the working, educational, and training environments at UT Southwestern are free from sex discrimination; handles complaints about sex discrimination made by individuals other than students, residents, and applicants in accordance with [ETH-151 Equal Opportunity](#), [ETH-154 Sexual Harassment and Sexual Misconduct](#), and [ETH-151P-01 Equal Opportunity Complaint Investigation and Resolution Procedure](#).

The [University Police department](#) notifies complainants of their right to submit a request for informal resolution or a formal

complaint pursuant to EDU-116P-01, in addition to a criminal complaint; shares information with the Title IX Coordinator, Deputy Title IX Coordinators, and the Office of Diversity & Inclusion and Equal Opportunity, as appropriate; and provides crime prevention and security awareness resources, including sexual assault prevention and campus and personal safety.

[Student Wellness and Counseling](#) provides educational materials, counseling, and support to students who believe they have been subjected to sex discrimination or who have experienced sexual violence and advises complainants of their options under this policy and outside UT Southwestern, such as reporting to the police.

DEFINITIONS

Consent – A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent. Consent is not effective if it results from: (a) the use of physical force; (b) a threat of physical force; (c) intimidation; (d) coercion; (e) incapacitation; or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to have sexual activity. A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity.

Dating Violence – violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim. The existence of such a relationship shall be determined by the victim with consideration of the following factors: (a) the length of the relationship; (b) the type of relationship; and (c) the frequency of interaction between the persons involved in the relationship. Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include domestic violence.

Domestic (Family) Violence – includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.

Hostile Environment – sex-based harassment that is sufficiently severe or pervasive to deny educational opportunities or limit an individual's ability to participate in UT Southwestern programs or activities. A hostile environment can be created by anyone involved in a UT Southwestern program or activity (e.g., administrators, faculty members, employees, students, vendors, patients, and visitors).

In determining whether a hostile environment exists, UT Southwestern considers the conduct in question from both a subjective and objective perspective. To conclude that conduct created or contributed to a hostile environment, the conduct must be unwelcome to the complainant *and* a reasonable person in the individual's position would have perceived the conduct as undesirable or offensive.

To ultimately determine whether a hostile environment exists, UT Southwestern considers a variety of factors related to the severity, persistence, or pervasiveness of the sex-based harassment, including: (1) the type, frequency, and duration of the conduct; (2) the identity and relationships of the persons involved; (3) the number of individuals involved; (4) the location of the conduct and the context in which it occurred; and (5) the degree to which the conduct affected an individual's education. A single instance, if sufficiently severe, may be sufficient to create a hostile environment (e.g., sexual assault). Likewise, a series of incidents may be sufficient even if the sex-based harassment is not particularly severe.

Resident – for the purposes of this policy, any physician in any Graduate Medical Education program at UT Southwestern, including interns, residents, fellows, and subspecialty residents.

Responsible Employees – UT Southwestern employees who must report known or suspected incidents of sexual misconduct involving students, residents or applicants to the Title IX Coordinator or Deputy Coordinators, including officials, administrators, faculty, supervisors, mentors, and academic advisors. Responsible Employees do not include individuals who are prohibited by confidentiality laws from reporting or identifying a victim without consent, including physical or mental health care professionals (Student Wellness and Counseling or other physician or counselor), pastoral or religious counselors, rape crisis centers, etc.

Retaliation – any action adversely impacting the educational or institutional status of an individual, or in any other manner harassing or discriminating against an individual, because he or she opposed sex discrimination; filed a complaint of sex discrimination; or testified for, assisted with, or participated in an investigation or other proceeding relating to sex discrimination.

Sexual Assault – a form of sexual violence that includes any offense that meets the definition of rape, fondling, incest, or statutory rape:

1. *Rape*: the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
2. *Fondling*: The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his or her age or because of his or her temporary or permanent mental incapacity.
3. *Incest*: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
4. *Statutory Rape*: Sexual intercourse with a person who is under the statutory age of consent.

Sexual Harassment – unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when (1) submission to such conduct is made either explicitly or implicitly a term or condition of a person's education or participation in UT Southwestern activities; (2) such conduct is sufficiently severe or pervasive that it interferes with an individual's education or participation in UT Southwestern activities, or creates an objectively hostile environment; or (3) such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's education or participation in UT Southwestern activities, or creating a hostile environment. Sexual harassment is a form of prohibited sex discrimination that includes:

1. Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - a. unwelcome intentional touching; or
 - b. deliberate physical interference with or restriction of movement;
2. Verbal conduct including but not limited to:
 - a. explicit or implicit propositions to engage in sexual activity;

- b. gratuitous comments, jokes, questions, anecdotes, or remarks of a sexual nature about clothing or bodies;
 - c. gratuitous remarks about sexual activities or speculation about sexual experiences;
 - d. persistent, unwanted sexual or romantic attention;
 - e. subtle or overt pressure for sexual favors;
3. Exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars, or other materials; or deliberate, repeated humiliation or intimidation based upon sex.

Sexual Misconduct – a broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual harassment, sexual violence, sexual assault, sexual exploitation, sexual intimidation, domestic violence, dating violence, and stalking. The term also includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature that does not rise to the level of sexual harassment but is unprofessional and inappropriate for the education and training environment. Sexual misconduct is a form of prohibited sex discrimination. Sexual misconduct can be committed by men or women, strangers or acquaintances. Sexual misconduct can occur between or among people of the same or opposite sex, and even between or among consenting individuals if conduct is of a sexual nature and is unprofessional or inappropriate for the education and training environment.

Sexual Violence – physical sexual acts perpetrated against a person’s will or where a person is incapacitated or otherwise incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

Stalking – engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition:

1. *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person’s property.
2. *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
3. *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

Student – for the purposes of this policy, an individual who is enrolled and in attendance at the UT Southwestern Medical School, School of Health Professions, or Graduate School of Biomedical Sciences, including postdoctoral scholars appointed to academic training positions.

UT Southwestern Premises – any area owned, operated, leased, occupied, or controlled by UT Southwestern, including buildings and structures, grounds, parking structures, enclosed bridges and walkways, sidewalks, parking lots, and UT Southwestern owned or leased vehicles.

PREVIOUS HANDBOOK POLICY CHAPTER AND NUMBER

Not applicable.

RELATED STATUTES, OTHER POLICIES, REQUIREMENTS, OR STANDARDS

- Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681-1688 and its implementing regulations, 34 C.F.R. Part 106
- Title VII of the Civil Rights Act of 1972, and its implementing regulations, 29 C.F.R. §1604
- Clery Act, 20 U.S. C. 1092(f) and its implementing regulations, 34 C.F.R. Part 668
- [ETH-151 Equal Opportunity](#)
- [ETH-151P-01 Equal Opportunity Complaint Investigation and Resolution Procedure](#)
- ETH-154 Sexual Harassment and Sexual Misconduct
- [EDU-116P-01 Sex Discrimination Complaint and Resolution](#)
- [SEC-156 Violence on Campus](#)
- Texas Labor Code Chapter 21
- Texas Family Code, Sections 71.0021, 71.004
- Texas Family Code Section 71.004
- Texas Penal Code, Section 42.072
- Regents' Rule 30105 Sexual Harassment, Sexual Misconduct, Consensual Sexual Relationships

REVISIONS AND UPDATES

July 3, 2015: Revised policy to comply with current laws and models provided by the UT System Office of General Counsel.

CONTACTS AND RESOURCES

Campus Resources

[Title IX Coordinator or Deputy Title IX Coordinator](#)

The Title IX Coordinators have specialized training and are knowledgeable about sexual violence, including domestic violence, dating violence, sexual assault, and stalking. They can assist individuals affected by sexual violence with accessing campus and community resources and pursuing a complaint.

[The Office of Diversity & Inclusion and Equal Opportunity](#) 214-648-4343

University Police

- On-Campus Emergency Number: 911
- Off-Campus Emergency/Cell Number: 214-648-8911
- On-Campus Non-Emergency Number: 88311
- Off-Campus Non-Emergency Number: 214-648-8311
- Crime Prevention Unit: 214-648-2220
- ["Report a Crime" via the University Police Crime Prevention web page](#)
- [University Police Annual Security Report](#)
- [UT Southwestern Emergency Response Guide](#)

Office of Compliance 214-648-6024

Compliance Hotline 877-507-7319

The Compliance Hotline is a confidential third-party reporting service that operates 24 hours a day, 7 days a week, and 365 days a year. Calls can be made anonymously or individuals may leave their name. Allegations are forwarded to UT Southwestern and will be promptly investigated.

Additional Campus Resources

- Office of Student and Alumni Affairs: 214-648-5617
- Student Wellness and Counseling Services: 214-645-8690
- Student Health Services: 214-645-8690
- Southwestern Medical School – Office of the Associate Dean for Student Affairs: 214-648-2168
- Southwestern Graduate School – Office of the Dean: 214-648-0715
- School of Health Professions – Office of the Dean: 214-648-1500
- Office of Graduate Medical Education: 214-648-3433

Off-Campus Resources

- Parkland Victim Intervention Program (VIP)/ Rape Crisis Center 24-hour Local Hotline: 214-590-0430
<http://www.parklandhospital.com/phhs/vip-rape-crisis-center.aspx>
- Dallas Area Rape Crisis Center 24-Hour Local Hotline: 972-641-RAPE (7273)
<http://www.dallasrapecrisis.org/who-we-are/>
- Rape, Abuse & Incest National Network (RAINN): 1-800-656-HOPE
<https://www.rainn.org/get-help/national-sexual-assault-hotline>
- Sexual Assault Legal Services & Assistance (SALSA): 1-888-343-4414
<http://www.hopelaws.org/>

UT SOUTHWESTERN POLICY HANDBOOK

PROCEDURE

EDU-116P-01: SEX DISCRIMINATION COMPLAINT AND RESOLUTION

Authorized by Policy EDU-116 Sex Discrimination – Sexual Misconduct,
Harassment, and Violence

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ADMINISTRATIVE INFORMATION

Responsible Office: Dean's Office
Executive Sponsor: Title IX Coordinator
Effective Date: January 11, 2013
Last Reviewed: June 23, 2015
Next Scheduled Review: June 23, 2020
Contact: policyoffice@utsouthwestern.edu

PURPOSE OF PROCEDURE

The purpose of this procedure is to set forth a timely and equitable process for resolving complaints brought by students, residents, and applicants to any UT Southwestern school or training program involving sex discrimination, including sexual misconduct, sexual harassment, sexual violence, sexual assault, stalking, domestic violence, and dating violence, in violation of EDU-116 Sex Discrimination – Sexual Misconduct, Harassment, and Violence. This procedure constitutes the grievance procedure for alleging unlawful sex discrimination as required under Title IX of the Education Amendments of 1972; as used herein, "complaint" is synonymous with "grievance."

This procedure is not applicable to complaints of sex discrimination brought by full-time, part-time, and temporary employees; individuals holding a faculty appointment; applicants for employment; and any individual participating in UT Southwestern services, programs, or activities, including but not limited to patients, visitors, volunteers, contractors, and vendors. All complaints about sex discrimination or sexual misconduct brought by individuals other than students, residents, or applicants to any UT Southwestern school or training program will be referred to the Office of Diversity & Inclusion and Equal Opportunity in accordance with the applicable UT Southwestern policy and procedure (see ETH-151 Equal Opportunity, ETH-154 Sexual Harassment and Sexual Misconduct, and ETH-151P Equal Opportunity Complaint, Investigation, and Resolution Procedure).

STEPS OF PROCEDURE

How to Submit a Complaint

1. Any student, resident, or applicant who believes that he or she has been subjected to conduct prohibited by EDU-116 is urged to immediately contact the [Title IX Coordinator or a Deputy Title IX Coordinator](#) for assistance with submitting a request to invoke the informal resolution process or to submit a formal complaint in accordance with this procedure.
2. Individuals wishing to remain anonymous can report incidents of known or suspected sex discrimination and file a complaint. However, electing to remain anonymous may greatly limit UT Southwestern's ability to conduct a

thorough investigation, collect evidence, stop the complained-of conduct, or take effective action against individuals accused of violating EDU-116.

3. Complaints should be submitted to the Title IX Coordinator or a Deputy Title IX Coordinator, preferably in writing, as soon as possible after the conduct giving rise to the complaint. Delay in making a complaint or report can greatly limit UT Southwestern's ability to conduct an investigation, implement appropriate interim measures, or take effective action against the alleged offender. In no case will a complainant be required to make a complaint or report of sex discrimination to the person accused of the conduct giving rise to the complaint.
4. Upon receipt of an informal or formal complaint, the Title IX Coordinator or Deputy Title IX Coordinator will attempt to inform the complainant of available campus and off-campus resources for further information and assistance. In the appropriate case, the Title IX Coordinator or a Deputy Title IX Coordinator will also evaluate whether interim measures are appropriate (see EDU-116).

Resolution Options

1. Any student, resident, or applicant who believes that he or she has been subjected to sex discrimination in violation of EDU-116 may invoke the informal resolution process and, if not satisfied with that process, may proceed directly to initiating a formal complaint.
2. The informal resolution process is not a pre-condition for making a formal complaint. However, both processes cannot be used at the same time, and once an individual has made a formal complaint, the informal resolution process is no longer available.

Informal Resolution Process

This process may be used to seek resolution of possible sex discrimination when the complainant does not wish to bring a formal complaint or as a prelude to bringing a formal complaint. Individuals are not required to use this option and may elect to end the informal resolution process at any time and begin the formal complaint process. The informal resolution process is not available to individuals alleging complaints involving sexual violence.

1. A complainant wishing to utilize the informal resolution process should submit a written request to the [Title IX Coordinator or a Deputy Title IX Coordinator](#). The written request to invoke the informal resolution process should describe in detail the nature of the conduct complained of and the desired outcome. A request to invoke the informal resolution process can be made verbally, but a written request is preferred.
2. The Title IX Coordinator or a Deputy Title IX Coordinator will work with the complainant to seek a resolution informally. Strategies for informal resolution may include providing the complainant with guidance on communicating to the respondent that his or her behavior is unwelcome, directing a UT Southwestern official to notify the respondent that his or her behavior is unwelcome and should cease, other action by an appropriate UT Southwestern official to address the conduct, or mediation. However, UT Southwestern may take more formal action, including disciplinary action, to ensure an environment free from sexual misconduct or harassment.
3. The informal resolution process should be completed within fourteen (14) working days from receipt of a request for informal resolution. The Title IX Coordinator or Deputy Title IX Coordinator shall appropriately document the informal resolution process and the outcome.
4. If the complainant is not satisfied with the outcome of the informal resolution process, the complainant can bring a formal complaint in the manner outlined below.

Formal Complaint Process

This process may be used to seek resolution of possible sex discrimination when the complainant wishes to file a formal complaint.

1. To initiate a formal complaint, the complainant should submit to the Title IX Coordinator or a Deputy Title IX Coordinator a signed, written statement setting out the details of the conduct that is the subject of the complaint, including the complainant's name, signature, and contact information; the name of the person(s) directly responsible for the alleged conduct; a detailed description of the conduct or event that is the basis of the complaint; all date(s) and location(s) of the occurrence(s); the names of any witnesses to the occurrence(s); the resolution sought; and any documents or other information relevant to the complaint.
2. While an investigation may begin on the basis of an oral complaint, the complainant is strongly encouraged to submit a written complaint. If the complaint is not in writing, the Title IX Coordinator or a Deputy Title IX Coordinator should prepare a written statement of what he or she understands the complaint to be and seek to obtain verification from the complainant.
3. The Title IX Coordinator or a Deputy Title IX Coordinator will conduct an initial assessment of all formal complaints received. Based on the initial assessment, the Title IX Coordinator or a Deputy Title IX Coordinator may recommend an informal resolution. The complainant may accept the recommended informal resolution or elect to proceed with the formal complaint process.
4. After completion of the initial assessment, the Title IX Coordinator or a Deputy Title IX Coordinator may either dismiss the complaint or initiate an investigation. A complaint may be dismissed without investigation if: the facts alleged in the complaint, even if taken as true, do not constitute sex discrimination; the complaint fails to allege any facts that suggest sex discrimination occurred; or the appropriate resolution or remedy has already been achieved, or has been offered and rejected.
5. If it is determined that a complaint will not be investigated, the Title IX Coordinator or a Deputy Title IX Coordinator will send the complainant a notification letter within ten (10) working days explaining the decision. The complainant may, within ten (10) working days of the notification, appeal the decision not to proceed with an investigation to the [Associate Dean](#). The written appeal must explain why the decision not to investigate the complaint was in error. The Associate Dean will respond within twenty (20) working days of receipt of the appeal. If the decision is overturned, the complaint will be sent back to the Title IX Coordinator or a Deputy Title IX Coordinator for investigation in accordance with the procedures outlined below. The Associate Dean's decision is final.
6. If it is determined that a complaint will be investigated, the respondent shall be provided with a copy of the complaint and allowed the opportunity to respond verbally and/or in writing within a reasonable time. If the response is not in writing, the Title IX Coordinator or a Deputy Title IX Coordinator should prepare a written statement of what he or she understands the response to be and seek to obtain verification from the respondent.
7. The complainant and the respondent will have an equal opportunity to present any documents or other information that is believed to be relevant to the investigation of the complaint.
8. Persons reasonably thought to have relevant information will be interviewed and such interviews will be appropriately documented. Both the complainant and the respondent may recommend witnesses for interview and suggest questions that should be asked. However, neither the complainant nor the respondent may participate in interviews of witnesses.
9. The investigation should be concluded as soon as possible after receipt of the written complaint. In investigations exceeding sixty (60) calendar days, an explanation for the delay will be provided to the complainant and the respondent. The complainant and respondent should be provided with regular updates on the progress of the investigation.

10. Within five (5) working days after completion of the investigation, the Title IX Coordinator or a Deputy Title IX Coordinator will send a written report to the [Associate Dean](#). The report shall include a recommendation as to whether a violation of EDU-116 occurred, an analysis of the facts discovered during the investigation, recommended disciplinary action if any, and any other recommended remedial action. Factual conclusions shall be based upon a “preponderance of the evidence” standard, i.e., it is more likely than not that a fact the complainant or respondent seeks to prove is true.
11. Written notification of the outcome of the investigation and a summary of the findings will be sent to the complainant and the respondent within ten (10) working days of the Associate Dean’s receipt of the report. The complainant and the respondent have seven (7) working days from the date of the notification letter to submit written comments to the Associate Dean regarding the investigation and outcome. However, if the complaint is against a student, the contents of the notification letter will be in accordance with the Family Education Rights and Privacy Act’s (FERPA) and Texas Education Code § 51.971 restrictions on disclosure of educational records, and neither the complainant nor the respondent will be permitted to provide comments to the Associate Dean.
12. Within twenty (20) working days after the deadline for receipt of comments from the complainant or respondent, the Associate Dean will take one of the following actions: (1) request that the Title IX Coordinator or a Deputy Title IX Coordinator conduct further investigation into the complaint; (2) dismiss the complaint if the results of the completed investigation are inconclusive or there is not a preponderance of the evidence to support the complaint; or (3) find that EDU-116 was violated. A decision that EDU-116 was violated shall be made upon the record provided by the investigation, any comments submitted by the complainant or respondent, and the totality of the evidence and circumstances surrounding the conduct complained of, including but not limited to the context of the conduct, its severity, its frequency, and whether it was physically threatening, humiliating, or simply offensive in nature. Factual conclusions shall be based upon a “preponderance of the evidence” standard, i.e., it is more likely than not that a fact the complainant or respondent seeks to prove is true.
13. The complainant and the respondent will be informed concurrently in writing of the Associate Dean’s decision. However, if the complaint is against a student, then the contents of the decision letter will be in accordance with the Family Educational Rights and Privacy Act (FERPA) and Texas Education Code § 51.971. The Associate Dean’s decision is final.
14. If the Associate Dean determines that EDU-116 was violated, he or she will refer the matter for further disciplinary action in accordance with the applicable disciplinary policy and procedures based on the status of the respondent (e.g., student, resident, or employee). Possible disciplinary sanctions for employees may include, but are not limited to, a verbal warning, a documented counseling, a written warning, suspension, demotion, reassignment, dismissal, or nonrenewal of appointment. Possible disciplinary sanctions for students or residents may include, but are not limited to, probation, suspension, or dismissal.

Provisions Applicable to the Informal Resolution and Formal Complaint Processes

1. The complainant and respondent may be assisted by a person of his or her choice, who may be an attorney; however, the assistant may not examine witnesses or otherwise actively participate in the investigation, including any meeting or interview. The Title IX Coordinator, Deputy Title IX Coordinator, and Associate Dean may be assisted by an attorney from the UT Southwestern Office of the Vice President for Legal Affairs, who also will not examine witnesses or otherwise actively participate in the investigation, including any meeting or interview.
2. Time limitations in these procedures may be modified at the discretion of the Title IX Coordinator, Deputy Title IX Coordinator, or the Associate Dean for good cause shown by the complainant, the respondent, or UT Southwestern.
3. Criminal or civil proceedings may continue concurrently with the informal resolution and formal complaint processes

outlined herein. Criminal or civil justice investigations, proceedings, findings, or outcomes are not determinative of either the procedures described herein or any UT Southwestern disciplinary procedures. UT Southwestern will not wait for police investigations or criminal or civil justice proceedings to be completed before taking action under this procedure, as UT Southwestern has an independent duty to respond to complaints of sex discrimination. At the request of law enforcement, UT Southwestern may delay its investigation until after the initial stages of a criminal investigation are completed. In that event, UT Southwestern will keep the complainant informed regarding the status and implementation of appropriate interim measures.

4. In both the informal resolution and formal complaint processes, UT Southwestern will take steps to prevent recurrence of any sex discrimination and to correct its effects on the complainant and others, as appropriate.
5. UT Southwestern shall document the informal resolution and formal complaint processes and their outcomes and retain copies of all materials in accord with federal and state law and UT Southwestern policy. The Title IX Coordinator shall retain such documentation separately from complainants' and respondents' official UT Southwestern files and will release such documentation only as permitted by law.
6. Any person who knowingly and intentionally files a false complaint or interferes with or provides false information in the course of an investigation under this procedure will be subject to disciplinary action, up to and including dismissal or non-renewal of appointment.
7. The filing of a complaint under this procedure will not stop or delay any action unrelated to the complaint, including actions related to an individual's failure to meet academic performance standards or standards of behavior or conduct.

Confidentiality

UT Southwestern has an obligation to maintain an environment free from sex discrimination. Thus, Responsible Employees, as defined herein, are required to report known or suspected incidents of sex discrimination that come to their attention and may not be able to honor an individual's request for complete confidentiality.

UT Southwestern will attempt to find the right balance between the complainant's desire for privacy and confidentiality and the responsibility to provide an environment free from sex discrimination. If the complainant requests that his or her name or other identifiable information not be revealed, UT Southwestern will evaluate that request in the context of UT Southwestern's responsibility to provide a safe and nondiscriminatory environment. UT Southwestern may weigh the complainant's request for confidentiality against multiple factors, including but not limited to: the seriousness of the alleged misconduct; whether there have been other complaints about the same individual; and the respondent's right to receive information about the allegations, in accordance with federal and state law. Individuals who wish to remain entirely anonymous may report sex discrimination using the Compliance Hotline. In the course of investigating a complaint, UT Southwestern will share information only as necessary with authorized people who need to know in order to fulfill the purpose of EDU-116 and this procedure, such as investigators, witnesses, and the respondent. UT Southwestern will take reasonable steps to ensure that there is no retaliation against a complainant or an individual who participates in an investigation or complaint proceeding. UT Southwestern will comply with the Family Education Rights and Privacy Act (FERPA), Texas Education Code § 51.971, and all other applicable confidentiality laws in the course of investigating and resolving complaints.

Non-disciplinary Remedial Actions

In addition to sanctions that may be imposed pursuant to the appropriate disciplinary policy, UT Southwestern will take appropriate remedial action(s), including but not limited to those below, to resolve complaints of sexual misconduct, prevent any recurrence, and, as appropriate, remedy any effects:

1. Imposing non-disciplinary sanctions against the respondent, including attending additional training, assignment of a mentor, a period of monitoring, etc.;
2. Ensuring that the complainant and respondent do not share classes, training environments, or extracurricular activities;
3. Making modifications to the on-campus living arrangements of the respondent or complainant (if the complainant requests to be moved);
4. Providing comprehensive victim services including medical, counseling, and academic support services, such as tutoring;
5. Providing other appropriate academic support, such as extra time to complete assignments or withdraw from a class without penalty;
6. Designating an individual trained in providing comprehensive services to assist victims of sexual violence;
7. Conducting an assessment of the overall learning and training environment to identify potential systemic misconduct;
8. Providing targeted training for a group of students if, for example, the sexual misconduct created a hostile environment in a particular course, rotation, training program, academic college, clinical environment, laboratory, etc. Bystander intervention and sexual misconduct prevention programs may be appropriate.

These potential remedies are separate from, and in addition to, any interim measures that may have been provided during the pendency of an investigation. If the complainant did not take advantage of a specific service (e.g., counseling) when offered as an interim measure, the complainant should still be offered, and is still entitled to, appropriate final remedies that may include services the complainant declined as an interim measure.

REFERENCES

- Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681-1688 and its implementing regulations, 34 C.F.R. Part 106
- Title VII of the Civil Rights Act of 1972, and its implementing regulations, 29 C.F.R. §1604
- Clery Act, 20 U.S. C. 1092(f) and its implementing regulations, 34 C.F.R. Part 668
- ETH-151 Equal Opportunity
- ETH-151P-01 Equal Opportunity Complaint Investigation and Resolution Procedure
- EDU-116 Sex Discrimination – Sexual Misconduct, Harassment, and Violence
- EDU-116P-01 Sex Discrimination Complaint and Resolution
- SEC-156 Violence on Campus
- Texas Labor Code Chapter 21
- Texas Family Code, Sections 71.0021, 71.004
- Texas Family Code Section 71.004
- Texas Penal Code, Section 42.072
- Regents Rule 30105 Sexual Harassment, Sexual Misconduct, Consensual Sexual Relationships

DEFINITIONS

Dating Violence – violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim. The existence of such a relationship shall be determined by the victim with consideration of the following factors: (a) the length of the relationship; (b) the type of relationship; and (c) the frequency of interaction between the persons involved in the relationship. Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include domestic violence.

Domestic (Family) Violence – includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating

with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.

Hostile Environment – sex-based harassment that is sufficiently severe or pervasive to deny educational opportunities or limit an individual's ability to participate in UT Southwestern programs or activities. A hostile environment can be created by anyone involved in a UT Southwestern program or activity (e.g., administrators, faculty members, employees, students, vendors, patients, and visitors).

In determining whether a hostile environment exists, UT Southwestern considers the conduct in question from both a subjective and objective perspective. To conclude that conduct created or contributed to a hostile environment, the conduct must be unwelcome to the complainant *and* a reasonable person in the individual's position would have perceived the conduct as undesirable or offensive.

To ultimately determine whether a hostile environment exists, UT Southwestern considers a variety of factors related to the severity, persistence, or pervasiveness of the sex-based harassment, including: (1) the type, frequency, and duration of the conduct; (2) the identity and relationships of the persons involved; (3) the number of individuals involved; (4) the location of the conduct and the context in which it occurred; and (5) the degree to which the conduct affected an individual's education. A single instance, if sufficiently severe, may be sufficient to create a hostile environment (e.g., sexual assault). Likewise, a series of incidents may be sufficient even if the sex-based harassment is not particularly severe.

Resident – for the purposes of this policy, any physician in any Graduate Medical Education program at UT Southwestern, including interns, residents, fellows, and subspecialty residents.

Responsible Employees – UT Southwestern employees who must report known or suspected incidents of sexual misconduct involving students, residents, or applicants to the Title IX Coordinator or Deputy Coordinators, including officials, administrators, faculty, supervisors, mentors, and academic advisors. Responsible Employees do not include individuals who are prohibited by confidentiality laws from reporting or identifying a victim without consent, including physical or mental health care professionals (Student Wellness and Counseling or other physician or counselor), pastoral or religious counselors, rape crisis centers, etc.

Retaliation – any action adversely impacting the education or institutional status of an individual, or in any other manner harassing or discriminating against an individual, because he or she opposed sex discrimination; filed a complaint of sex discrimination; or testified for, assisted with, or participated in an investigation or other proceeding relating to sex discrimination.

Sexual Assault – a form of sexual violence that includes any offense that meets the definition of rape, fondling, incest, or statutory rape:

1. *Rape*: the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
2. *Fondling*: The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his or her age or because of his or her temporary or permanent mental incapacity.
3. *Incest*: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

4. *Statutory Rape*: Sexual intercourse with a person who is under the statutory age of consent.

Sexual Harassment – unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when: (1) submission to such conduct is made either explicitly or implicitly a term or condition of a person's education or participation in UT Southwestern activities; (2) such conduct is sufficiently severe or pervasive that it interferes with an individual's education or participation in UT Southwestern activities, or creates an objectively hostile environment; or (3) such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's education or participation in UT Southwestern activities, or creating a hostile environment. Sexual harassment is a form of prohibited sex discrimination that includes:

1. Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - a. unwelcome intentional touching; or
 - b. deliberate physical interference with or restriction of movement;
2. Verbal conduct including but not limited to:
 - a. explicit or implicit propositions to engage in sexual activity;
 - b. gratuitous comments, jokes, questions, anecdotes, or remarks of a sexual nature about clothing or bodies;
 - c. gratuitous remarks about sexual activities or speculation about sexual experiences;
 - d. persistent, unwanted sexual or romantic attention;
 - e. subtle or overt pressure for sexual favors;
3. Exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars, or other materials; or deliberate, repeated humiliation or intimidation based upon sex.

Sexual Misconduct – a broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual harassment, sexual violence, sexual assault, sexual exploitation, sexual intimidation, domestic violence, dating violence, and stalking. The term also includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature that does not rise to the level of sexual harassment but is unprofessional and inappropriate for the education and training environment. Sexual misconduct is a form of prohibited sex discrimination. Sexual misconduct can be committed by men or women, strangers or acquaintances. Sexual misconduct can occur between or among people of the same or opposite sex, and even between or among consenting individuals if conduct is of a sexual nature and is unprofessional or inappropriate for the education and training environment.

Sexual Violence – physical sexual acts perpetrated against a person's will or where a person is incapacitated or otherwise incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

Stalking – engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition:

1. *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means follows, monitors, observes, surveils, threatens, or

communicates to or about a person, or interferes with a person's property.

2. *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
3. *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

Student – for the purposes of this policy, an individual who is enrolled and in attendance at the UT Southwestern Medical School, School of Health Professions, or Graduate School of Biomedical Sciences, including postdoctoral scholars appointed to academic training positions.

CONTACT / FOR FURTHER INFORMATION

[Title IX Coordinator and Deputy Coordinators](#)

UT SOUTHWESTERN POLICY HANDBOOK

PROCEDURE

ETH-151P-01 EQUAL OPPORTUNITY COMPLAINT INVESTIGATION AND RESOLUTION

Authorized by the following policies:

ETH-151 Equal Opportunity

ETH-152 Reasonable Accommodations for Qualified Applicants and Employees with Disabilities

ETH-154 Sexual Harassment and Sexual Misconduct

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ADMINISTRATIVE INFORMATION

Responsible Office: Office of Diversity & Inclusion and Equal Opportunity

Executive Sponsor: Vice President for Community and Corporate Relations

Effective Date: April 7, 2015

Last Reviewed: March 24, 2015

Next Scheduled Review: March 24, 2020

Contact: policyoffice@utsouthwestern.edu

APPLICABILITY OF PROCEDURE

The purpose of this procedure is to set forth a timely and equitable process for resolving complaints alleging discrimination, harassment, retaliation, or sexual misconduct in violation of UT Southwestern policies ETH-151 Equal Opportunity, ETH-152 Reasonable Accommodations for Qualified Applicants and Employees with Disabilities, and/or ETH-154 Sexual Harassment and Sexual Misconduct. This procedure applies to complaints brought by full-time, part-time, and temporary employees; individuals holding a faculty appointment; residents; applicants for employment; applicants for any UT Southwestern training program; and any individual participating in UT Southwestern services, programs, or activities, including but not limited to patients, visitors, volunteers, contractors, and vendors.

This procedure does not apply to complaints brought by students, residents, or applicants for any UT Southwestern school or training program alleging violation of EDU-116 Sex Discrimination - Sexual Misconduct, Harassment, and Violence; such complaints will be handled in accordance with EDU-116P-01 Sex Discrimination Complaint and Resolution Procedures. This procedure also does not apply to complaints brought by students or applicants for any UT Southwestern school alleging discrimination, harassment, or retaliation on the basis of a protected status other than sex. Students or applicants for any UT Southwestern school with complaints about discrimination (other than sex discrimination) should consult the applicable UT Southwestern catalog for school-specific complaint and resolution procedures.

STEPS OF PROCEDURE

Submitting a Complaint

1. An individual who believes that he or she has not been treated in compliance with ETH-151 Equal Opportunity, ETH-152 Reasonable Accommodations for Qualified Applicants and Employees with Disabilities, or ETH-154 Sexual Harassment or Sexual Misconduct should submit a written complaint to the Office of Diversity & Inclusion and Equal Opportunity, Division of Equal Opportunity, as soon as possible after the conduct giving rise to the complaint, but no later than 90 calendar days after the last suspected act of discrimination, harassment, retaliation, or sexual misconduct.
2. Written complaints submitted to the Division of Equal Opportunity should set out in detail the nature of the complaint and should include the following:
 - a. the complainant's name, signature, and contact information;
 - b. a detailed description of the conduct or event that is the basis of the complaint;
 - c. the date(s) and location(s) of the conduct or event;
 - d. the name(s) of the person(s) directly responsible for the conduct or event;
 - e. the names of all witnesses to the conduct or event; and
 - f. any documents, communications, emails, text messages, or other information the complainant believes may be relevant.
3. Complainants are strongly encouraged to submit a written complaint and to include all of the information set forth in paragraph 2. If a complaint is not in writing, the Division of Equal Opportunity will prepare a written statement summarizing the basis of the complaint and will provide it to the complainant for signature. If a complainant does not sign the written statement or otherwise submit sufficient information in writing to allow the complaint to proceed, the Division of Equal Opportunity will deem the complaint withdrawn.
4. Anonymous communications (other than complaints to the Compliance Hotline); courtesy copies of correspondence or complaints submitted to an external agency or third-party; inquiries that seek advice or information only; or pre-complaint consultations are not considered complaints and will not be investigated in accordance with this procedure.
5. Employees must use this procedure to submit a complaint alleging violation of ETH-151 Equal Opportunity, ETH-152 Reasonable Accommodations for Qualified Applicants and Employees with Disabilities, and/or ETH-154 Sexual Harassment or Sexual Misconduct. Employee complaints regarding discrimination, harassment, retaliation, or sexual misconduct are not properly raised or considered in any appeal of disciplinary action (see EMP-351 Discipline and Discharge) or any grievance (see EMP-401 Grievances). However, employees may continue to appeal a disciplinary action and/or pursue a grievance on non-equal opportunity grounds (see EMP-351P-02 Appealing Disciplinary Actions and EMP-401-P-01 Procedure for Bringing a Grievance).
6. Any person who knowingly and intentionally files a false complaint or provides false information in the course of an investigation under this procedure will be subject to disciplinary action, up to and including dismissal or non-renewal of appointment.

Investigative Process

1. An investigation will be initiated by the Division of Equal Opportunity if the complaint is complete and timely, falls within the scope of this procedure, and articulates sufficient facts that, if determined to be true, would support a finding that UT Southwestern policy was violated.

2. The Division of Equal Opportunity may determine that a complaint will not be investigated when:
 - a. it is submitted more than 90 calendar days after the last alleged act of discrimination, harassment, retaliation, or sexual misconduct;
 - b. the complainant withdraws the complaint;
 - c. appropriate remedial action has already been taken, or has been offered and rejected;
 - d. another internal complaint resolution process is more appropriate;
 - e. another internal complaint resolution process is pending or has already been completed;
 - f. the substance of the complaint is the subject of pending litigation or other external resolution process, such as before the Equal Employment Opportunity Commission or the Texas Workforce Commission; or
 - g. the complaint is based on allegations that, even if determined to be true, would not support a finding that discrimination, harassment, retaliation, or sexual misconduct occurred.
3. Within 14 business days of receipt of the complaint, the Division of Equal Opportunity will notify the complainant in writing that the complaint has been received and whether it will be investigated. If the complaint will not be investigated, the notice will provide the reason. If the Division of Equal Opportunity determines that a complaint will not be investigated, the complainant may appeal that decision to the Vice President for Community and Corporate Relations in accordance with the "Appeals" section, below.
4. The Division of Equal Opportunity will appoint an appropriate investigator to review the complaint. The investigator will interview the complainant, the respondent, and any other persons that he or she believes may have pertinent information. The complainant and the respondent may suggest witnesses for the investigator to interview, but the selection of persons to interview is solely within the discretion of the investigator. Neither the complainant nor the respondent may participate in interviews. The investigator will also gather and examine relevant documents; the complainant and the respondent will have an equal chance to present any documents or other information they believe to be relevant to the investigation.

Findings, Reports, and Recommendations

1. Investigative findings will be based on the totality of the evidence. The investigator may also consider the context of the conduct; the conduct's severity and frequency; and whether the conduct was physically threatening, humiliating, or simply offensive in nature to a reasonable person.
2. The investigator will prepare a final report that summarizes the investigation conducted, the facts presented, and the investigator's findings and recommendations and will submit the report to the Director of Equal Opportunity.
3. The Director of Equal Opportunity will submit a written decision to the complainant as soon as practicable but no later than 60 calendar days after receipt of the written complaint or written verification of an oral complaint. If the investigator anticipates that an investigation will take longer than 60 calendar days, the investigator must provide a written explanation for the delay and an estimated completion date to the complainant, the respondent, and the Vice President for Community and Corporate Relations.

Appeals

If dissatisfied with the decision of the Division of Equal Opportunity, the complainant may appeal in writing to the Vice President for Community and Corporate Relation within five (5) business days. The appeal should set forth the reasons why

the complainant believes the decision of the Division of Equal Opportunity was in error and the remedy sought. The Vice President for Community and Corporate Relations may, at his or her discretion, schedule a meeting with the complainant to review the appeal. The Vice President for Community and Corporate Relations will issue a written decision to the complainant within thirty (30) calendar days of receipt of the appeal. The decision of the Vice President for Community and Corporate Relations is final with respect to issues covered by this procedure.

Confidentiality and Documentation

UT Southwestern will attempt to find the right balance between the complainant's desire for privacy and confidentiality and the responsibility to provide an environment free from discrimination, harassment, retaliation, and sexual misconduct. If the complainant requests that his or her name or other identifiable information not be revealed, UT Southwestern will evaluate that request in the context of UT Southwestern's responsibility to provide a safe and nondiscriminatory environment. UT Southwestern may weigh the complainant's request for confidentiality against multiple factors, including but not limited to: the seriousness of the alleged misconduct; whether there have been other complaints about the same individual; and the respondent's right to receive information about the allegations, in accordance with federal and state law.

The Office of Diversity & Inclusion and Equal Opportunity will document the complaint, the investigation process, and the outcome, and will retain copies of all materials in accordance with federal and state law and UT Southwestern policy. All documentation must be retained separately from complainants' and respondents' official UT Southwestern files (e.g., personnel file, resident file, application file, etc.) and will be released only as permitted by law.

DEFINITIONS

Discrimination – conduct directed at an individual or group of individuals that adversely affects their employment, education, or training, or participation in UT Southwestern activities because of race, color, religion, sex, age, national origin, disability, genetic information, protected veteran status, citizenship status, sexual orientation, gender identity, or gender expression.

Harassment – a form of prohibited discrimination that involves unwelcome conduct directed at an individual or a group of individuals because of race, color, religion, sex, age, national origin, disability, genetic information, protected veteran status, citizenship status, sexual orientation, gender identity, or gender expression; and, such conduct is sufficiently severe, pervasive, or persistent as to interfere with academic or work performance or create an environment that would be intimidating, hostile, or offensive to a reasonable person.

Retaliation – a form of prohibited discrimination that includes any action adversely impacting the employment, education, training, or institutional status of an individual, or in any other manner harassing or discriminating against an individual, because he or she opposed a discriminatory practice, filed a complaint or charge of discrimination, or testified for, assisted with, or participated in an investigation or other proceeding relating to discrimination

Sexual Misconduct – a form of prohibited sex discrimination that encompasses sexual harassment and sexual violence, as well as conduct of a sexual nature that is unprofessional and inappropriate for the educational, training, and working environments, e.g., inappropriate jokes, comments, e-mails, or photographs, even if not sufficiently severe or pervasive to constitute sexual harassment. Such actions may constitute prohibited sexual misconduct under ETH-154 even if the conduct appears welcomed or consensual.

Student – for the purposes of this policy, an individual, who is enrolled and in attendance at the UT Southwestern Medical School, School of Health Professions, or Graduate School of Biomedical Sciences, including postdoctoral scholars appointed to academic training positions.

Resident – for the purposes of this policy, any physician in any Graduate Medical Education program at UT Southwestern,

including interns, residents, fellows and subspecialty residents.

REFERENCES

Regents' Rule 10701 Policy Against Discrimination
UT System Systemwide Policy UTS105 Sexual Orientation Nondiscrimination Policy
UT System Systemwide Policy UTS131 Protection from Retaliation for Reporting Suspected Wrongdoing
EDU-103 Learners with Disabilities
EDU-116 Sex Discrimination – Sexual Misconduct, Harassment, and Violence
EDU-116P Sex Discrimination Complaint and Resolution
ETH-152 Reasonable Accommodations for Qualified Applicants and Employees with Disabilities
ETH-154 Sexual Harassment and Sexual Misconduct
SEC-156 Violence on Campus
Americans with Disabilities Act of 1990 (As Amended)
Age Discrimination Act of 1975 (As Amended)
Age Discrimination in Employment Act of 1967 (As Amended)
Texas Labor Code Chapter 21
Section 504 of the Rehabilitation Act of 1973
Title VII of the Civil Rights Act of 1964 (As Amended)
Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681
Immigration and Nationality Act (INA), 8 U.S.C. § 1324b
Vietnam Era Veterans' Readjustment Assistance Act of 1974 (As Amended)
Genetic Information Nondiscrimination Act of 2008

CONTACT / FOR FURTHER INFORMATION

Office of Diversity & Inclusion and Equal Opportunity 214-648-4343

UT SOUTHWESTERN POLICY HANDBOOK

ETH-154: SEXUAL HARASSMENT AND SEXUAL MISCONDUCT

CHAPTER 3: ETHICS, COMPLIANCE, AND STANDARDS OF BEHAVIOR

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ADMINISTRATIVE INFORMATION

Responsible Office: Office of Diversity & Inclusion and Equal Opportunity
Executive Sponsor: Vice President for Community and Corporate Relations
Effective Date: January 4, 2008
Last Reviewed: May 26, 2015
Revised: June 5, 2015
Next Scheduled Review: May 26, 2020
Contact: policyoffice@utsouthwestern.edu

POLICY RATIONALE AND TEXT

UT Southwestern is committed to ensuring that its campus environment is free from sexual harassment and sexual misconduct and other conduct of a sexual nature that is unprofessional and inappropriate for the workplace. Sexual harassment and sexual misconduct are prohibited forms of sex discrimination and will not be tolerated. UT Southwestern also prohibits retaliation against any individual who opposes sexual harassment and sexual misconduct, files a complaint of sexual harassment and sexual misconduct, or testifies for, assists in, or participates in an investigation or other proceeding of the same.

UT Southwestern employees who engage in conduct prohibited by this policy are subject to disciplinary action, up to and including dismissal or non-renewal of appointment. UT Southwestern will take prompt and appropriate remedial action against any individual or organization under its control for violation of this policy.

SCOPE

This policy applies to all full-time, part-time, and temporary employees; individuals holding a faculty appointment; applicants for employment; and any individual participating in UT Southwestern services, programs, or activities, including but not limited to patients, visitors, volunteers, contractors, and vendors.

This policy applies regardless of the gender, gender identity, or sexual orientation of either the complainant or the alleged offender. It applies to conduct regardless of whether it occurs on or off UT Southwestern property, or via telephonic or electronic means (*e.g.*, text message, e-mail, social media, or instant messaging), if such conduct may have an adverse effect on the complainant's employment or participation in or benefit from UT Southwestern programs or activities.

This policy does not apply to students, residents, or applicants to any UT Southwestern school or training program who have concerns or complaints about sexual misconduct. Those individuals should refer to [EDU-116 Sex Discrimination – Sexual Misconduct, Harassment, and Violence](#) and contact the Title IX Coordinator or Deputy Title IX Coordinators per [EDU-116P-01](#)

[Sex Discrimination Complaint and Resolution.](#)

PROCEDURES (INCLUDING LINKS TO RELATED DOCUMENTS)

Reporting Sexual Harassment and Sexual Misconduct to UT Southwestern

- Anyone who witnesses or is aware of any known or suspected incidents of sexual harassment or sexual misconduct is strongly encouraged to promptly report the incident to UT Southwestern. Reports may be made to the Office of Diversity & Inclusion and Equal Opportunity, Division of Equal Opportunity, or to any UT Southwestern official, administrator, or supervisor.
- Every UT Southwestern official, administrator, or supervisor is responsible for promptly reporting to the Division of Equal Opportunity any known or suspected incidents of sexual harassment or sexual misconduct that come to their attention.
- Employees who are not UT Southwestern officials, administrators, or supervisors are strongly encouraged to promptly report any known or suspected incidents of sexual harassment or sexual misconduct to the Division of Equal Opportunity.
- Reports should be made as soon as possible after the incident occurs. Delays in reporting can limit UT Southwestern's ability to take effective action to address violations of this policy.
- In no instance will any individual be required to report incidents of known or suspected sexual harassment or sexual misconduct to the alleged offender.
- Sexual harassment and sexual misconduct complaints by employees, individuals holding a faculty appointment, applicants for employment, and individuals participating in UT Southwestern services, programs, or activities should be submitted and will be handled in accordance with [ETH-151P-01 Equal Opportunity Complaint Investigation and Resolution Procedure](#).
- In an appropriate case, UT Southwestern may take immediate or interim measures to ensure the safety and well-being of the UT Southwestern community and to maintain an environment free from sexual harassment and sexual misconduct, pending the outcome of a complaint or investigation.
- Sexual harassment and sexual misconduct complaints brought by students, residents, or applicants to any UT Southwestern school or training program will be handled in accordance with [EDU-116P-01 Sex Discrimination Complaint and Resolution Procedures](#).

Reporting Sexual Violence to Law Enforcement

- Incidents of sexual violence, including sexual assault, domestic or dating violence, stalking, and sexual exploitation that occurred on campus should be immediately reported to University Police at 214-648-8911 (emergency), 214-648-8311 (non-emergency) or via the online [Report a Crime](#) form.
- Incidents of sexual violence occurring in other jurisdictions should be reported to the appropriate local law enforcement authority.
- Individuals are strongly encouraged to promptly report incidents of sexual violence to the appropriate law enforcement authority, regardless of whether the victim intends to pursue criminal charges.
- Victims of sexual assault are encouraged to seek immediate medical care, preserve all physical evidence, and get an appropriate medical exam, regardless of whether the victim intends to report a crime, notify the police, or press

criminal charges.

- For additional information and resources for individuals affected by sexual violence, please refer to [SEC-156 Violence on Campus](#) and [EDU-116 Sex Discrimination - Sexual Misconduct, Harassment, and Violence](#) or contact the Office of Diversity & Inclusion and Equal Opportunity, the Title IX Coordinator, or a Deputy Title IX Coordinator.

Training

- UT Southwestern will provide appropriate training and preventative education to employees, faculty, students, and residents regarding sexual misconduct; the application of this policy and application of [EDU-116 Sex Discrimination - Sexual Misconduct, Harassment, and Violence](#); available complaint mechanisms and resolution procedures; and available campus and community resources.
- The Office of Diversity & Inclusion and Equal Opportunity, the Title IX Coordinator, and the Deputy Title IX Coordinators receive specialized training to handle sexual misconduct complaints and to assist individuals affected by sexual misconduct with accessing campus and community resources.
- Additional training opportunities regarding campus and personal safety and crime prevention are available by contacting University Police.

DEFINITIONS

Sexual Harassment – unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when (1) submission to such conduct is made either explicitly or implicitly a term or condition of a person's employment or participation in UT Southwestern activities; (2) such conduct is sufficiently severe or pervasive that it interferes with an individual's employment or participation in UT Southwestern activities, or creates an objectively hostile environment; or (3) such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's employment or participation in UT Southwestern activities, or creating a hostile environment. Sexual harassment is a form of prohibited sex discrimination that includes:

- A. Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - i. unwelcome intentional touching; or
 - ii. deliberate physical interference with or restriction of movement.
- B. Verbal conduct including but not limited to:
 - i. explicit or implicit propositions to engage in sexual activity;
 - ii. gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;
 - iii. gratuitous remarks about sexual activities or speculation about sexual experiences;
 - iv. persistent, unwanted sexual or romantic attention;
 - v. subtle or overt pressure for sexual favors;
- C. Exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars, or other materials; or deliberate, repeated humiliation or intimidation based upon sex.

Sexual Misconduct – a broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual harassment, sexual violence, sexual assault, sexual exploitation, sexual intimidation, domestic violence, dating violence, and stalking. The term also includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature that does not rise to the level of sexual harassment but is unprofessional and inappropriate for the workplace. Sexual misconduct can be committed by men or women, strangers or

acquaintances. Sexual misconduct can occur between or among people of the same or opposite sex, and even between or among consenting individuals if conduct is of a sexual nature and is unprofessional or inappropriate for the workplace.

Hostile Environment – sex-based harassment is sufficiently severe or pervasive to deny or limit an individual’s ability to participate in UT Southwestern programs or activities or an employee’s terms and conditions of employment. A hostile environment can be created by anyone involved in a UT Southwestern program or activity (*e.g.*, administrators, faculty members, employees, students, vendors, patients and visitors).

In determining whether a hostile environment exists, UT Southwestern considers the conduct in question from both a subjective and objective perspective. To conclude that conduct created or contributed to a hostile environment, the conduct must be unwelcome to the complainant *and* a reasonable person in the individual’s position would have perceived the conduct as undesirable or offensive.

Sexual Violence – physical sexual acts perpetrated against a person’s will or where a person is incapacitated or otherwise incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

Retaliation – any action adversely impacting the employment or institutional status of an individual, or in any other manner harassing or discriminating against an individual, because he or she opposed sexual misconduct, filed a complaint or charge of sexual misconduct, or testified for, assisted with, or participated in an investigation or other proceeding relating to sexual misconduct.

Student – for the purposes of this policy, an individual who is enrolled and in attendance at the UT Southwestern Medical School, School of Health Professions, or Graduate School of Biomedical Sciences, including postdoctoral scholars appointed to academic training positions.

Resident – for the purposes of this policy, any physician in any Graduate Medical Education program at UT Southwestern, including interns, residents, fellows, and subspecialty residents.

PREVIOUS HANDBOOK POLICY CHAPTER AND NUMBER

5.12.2 Sexual Harassment Policy and Procedure

HR Policy Memorandum 6.050 Sexual Harassment and Sexual Misconduct

RELATED STATUTES, OTHER POLICIES, REQUIREMENTS, OR STANDARDS

- ETH-151 Equal Opportunity
- ETH-151P-01 Equal Opportunity Complaint Investigation and Resolution Procedure
- EDU-116 Sex Discrimination – Sexual Misconduct, Harassment, and Violence
- EDU-116P-01 Sex Discrimination Complaint and Resolution
- SEC-156 Violence on Campus
- Texas Labor Code Chapter 21
- Texas Family Code, Sections 71.0021, 71.004
- Texas Family Code Section 71.004
- Texas Penal Code, Section 42.072
- Title VII of the Civil Rights Act of 1964 (As Amended)

- Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681
- Campus Sexual Violence Elimination Act (SaVE)
- Regents Rule 30105 Sexual Harassment and Misconduct and Inappropriate Consensual Relationships

REVISIONS AND UPDATES

June 5, 2015: Revised the procedures to clarify how to report known or suspected sexual harassment or sexual misconduct to UT Southwestern.

CONTACTS/FOR FURTHER INFORMATION

Office of Diversity & Inclusion and Equal Opportunity 214-648-4343

UT SOUTHWESTERN POLICY HANDBOOK

SEC-156: VIOLENCE ON CAMPUS

CHAPTER 4: CAMPUS SECURITY AND PREPAREDNESS

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ADMINISTRATIVE INFORMATION

Responsible Office: Office of Human Resources
Executive Sponsor: Executive Vice President of Business
Affairs
Effective Date: January 9, 2015
Last Reviewed: December 16, 2014
Revised : May 15, 2015
Next Scheduled Review: December 16, 2019
Contact: policyoffice@utsouthwestern.edu

POLICY RATIONALE AND TEXT

Campus Violence Prohibited

UT Southwestern does not tolerate campus violence, threats of violence, or intimidation. Conduct that may threaten the safety or well-being of individuals affiliated with UT Southwestern or the safety and security of UT Southwestern premises is prohibited. It is the policy of UT Southwestern to maintain a safe and secure campus; to educate employees, students, and trainees about violence awareness and prevention; and to provide support and resources to employees, students, and trainees who have been affected by violence, threats of violence, or intimidation.

Any individual who suspects, witnesses, or experiences campus violence, threats of violence, or intimidation is strongly encouraged to report the incident in accordance with the procedures outlined below. Every supervisor, administrator, and UT Southwestern official is responsible for promptly reporting incidents or threats of campus violence or intimidation that come to their attention. Any individual who engages in campus violence, threats of violence, or intimidation prohibited by this policy will be subject to disciplinary action, up to and including dismissal or non-renewal of appointment.

Examples of prohibited campus violence include but are not limited to:

- Intentionally striking, attempting to strike, or threatening to strike another individual, e.g., hitting, punching, slapping, kicking, elbowing, pushing, or shoving.
- Intentionally causing, attempting to cause, or threatening to cause physical harm or injury to another individual or the individual's family, friends, or co-workers.
- Intentionally causing, attempting to cause, or threatening to cause damage to UT Southwestern premises or property, or the property of another individual.
- Harassment and stalking.
- Committing, attempting to commit, or threatening to commit any act of sexual violence. See also ETH-154 Sexual

Harassment and EDU-116 Sex Discrimination - Sexual Misconduct, Harassment, and Violence.

- Unlawfully using or attempting to use a weapon or other dangerous device to cause harm to or threaten any individual or to cause or threaten property damage. See also SEC-155 Prohibition of Weapons on Campus.
- Intimidating, coercing, or attempting to intimidate or coerce another individual to engage in any act of campus violence prohibited by this policy.

Retaliation Prohibited

Retaliation is strictly prohibited. Any person who retaliates in any way against an individual who made a good faith report of campus violence under this policy or who utilized any of the UT Southwestern resources outlined herein for those affected by violence may be subject to disciplinary action, up to and including dismissal or non-renewal of appointment. An individual who believes that he or she has been subjected to retaliation in violation of this policy should submit a written complaint, setting out the details of the conduct that is the subject of the complaint, to the Office of Compliance.

Making a False Report or Providing False Information Prohibited

Any person who knowingly and intentionally makes a false report or provides false information regarding an incident of campus violence may be subject to disciplinary action, up to and including dismissal or non-renewal of appointment.

SCOPE

This policy applies to all UT Southwestern employees, individuals holding a faculty appointment, students, and trainees, as well as any individuals using UT Southwestern premises, services, or resources, or participating in UT Southwestern activities. It applies to conduct regardless of where or how it occurs, including off UT Southwestern premises or via telephonic or electronic means (e.g., text message, e-mail, Facebook, Twitter, Instagram, or instant messenger), if such conduct impacts the education, training, or working environment at UT Southwestern.

PROCEDURES (INCLUDING LINKS TO RELATED DOCUMENTS)

Reporting Campus Violence

Any individual who suspects, experiences, or witnesses campus violence should make a report in one or more of the following ways. Phone numbers and links are listed below under Contacts and Resources.

Reporting a Campus Violence Emergency: 911 or 214-648-8911

- In cases of emergency or imminent danger, individuals should contact University Police at 911 from a campus extension or at 214-648-8911 from a non-campus extension or by using the emergency blue-light call boxes or elevator phones. Emergencies would include criminal activity in progress (assault, use of a weapon, sexual violence), imminent bodily harm, or actual bodily harm.
- An employee who reports a campus violence emergency to University Police should also notify his or her supervisor as soon as is practicable.

Reporting Non-Emergency Campus Violence

Non-emergency incidents of campus violence should also be reported. Non-emergencies would include non-imminent threats or property damage.

Reports of non-emergency campus violence involving employees, volunteers, visitors, contractors, or vendors may be made to any of the following:

- The University Police's non-emergency phone number or via the online "Report a Crime" form.
- The immediate supervisor, or if the supervisor is unavailable or is the alleged offender, to the department vice

president, dean, or administrative equivalent.

- The Office of Compliance
- The Office of Human Resources

Reports of non-emergency campus violence involving students or trainees may be made as follows:

- The University Police's non-emergency phone number or via the online "Report a Crime" form.
- Students and trainees should also report non-emergency campus violence to the Office of the Vice President for Student and Alumni Affairs or to the appropriate administrative office:

Southwestern Medical School – Office of the Associate Dean for Student Affairs

Southwestern Graduate School – Office of the Dean

School of Health Professions – Office of the Dean

Office of Graduate Medical Education

Reporting Sexual Violence

- Incidents of sexual violence (including domestic violence, dating violence, sexual assault, and stalking) that occurred on campus should be immediately reported to University Police. Incidents of sexual violence occurring in other jurisdictions should be reported to the appropriate local law enforcement authority.
- Incidents of sexual violence (including domestic violence, dating violence, sexual assault, and stalking) involving students or trainees should also be reported to the Title IX Coordinator or a Deputy Title IX Coordinator, regardless of whether the victim intends to make a police report or pursue criminal charges. See EDU-116 Sex Discrimination - Sexual Misconduct, Harassment, and Violence and EDU-116P-01 Sex Discrimination Complaint and Resolution.
- Incidents of sexual violence (including domestic violence, dating violence, sexual assault, and stalking) involving employees, faculty, and any individual participating in UT Southwestern services, programs, or activities, including but not limited to patients, visitors, volunteers, contractors, and vendors, should also be reported to the Office of Diversity & Inclusion and Equal Opportunity, Division of Equal Opportunity, regardless of whether the victim intends to make a police report or pursue criminal charges. The Office of Diversity & Inclusion and Equal Opportunity, Division of Equal Opportunity should then report incidents of sexual violence (including domestic violence, dating violence, sexual assault, and stalking) to the Title IX Coordinator or a Deputy Title IX Coordinator. See [ETH-154 Sexual Harassment and Sexual Misconduct](#) and [ETH-151P-01 Equal Opportunity Complaint Investigation and Resolution Procedure](#).

Protective or Restraining Orders

Anyone who has been issued a protective order, temporary restraining order, or restraining order that restricts an individual from entering UT Southwestern premises should notify University Police. If a violation of a protective or restraining order is committed on UT Southwestern premises, the violation should immediately be reported to University Police.

Domestic and Family Violence and Dating Violence

UT Southwestern acknowledges that domestic and family violence and dating violence can impact the education, training, and working environment and/or UT Southwestern employees, students, and trainees, even if the incidents occur off UT Southwestern premises or are perpetrated by individuals not affiliated with UT Southwestern. UT Southwestern strongly encourages any employee, student, or trainee who has been affected by domestic and family violence or dating violence to utilize the programs, services, and information available through the Contacts and Resources listed below.

Additional Resources

There are a variety of resources available through UT Southwestern for employees, students, and trainees who have been affected by any kind of campus violence. UT Southwestern also offers training and information about crime prevention and personal safety. UT Southwestern strongly encourages all employees, students, and trainees to utilize the programs, services, and information available through the Contacts and Resources listed below.

RESPONSIBILITIES

Every individual is responsible for reporting any instance – or potential instance – of campus violence, in accordance with this policy.

DEFINITIONS

Campus Violence – any action or behavior that may threaten the safety and well-being of another individual affiliated with UT Southwestern or the safety and security of UT Southwestern’s premises.

Consent – A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

Dating Violence – violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim. The existence of such a relationship shall be determined by the victim with consideration of the following factors: (a) the length of the relationship; (b) the type of relationship; and (c) the frequency of interaction between the persons involved in the relationship. Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include domestic violence.

Domestic and Family Violence – includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of the state of Texas.

Harassment – means any act intended to harass, annoy, alarm, abuse, torment, or embarrass another person, including making obscene comments; threatening to inflict bodily injury or property damage; repeated telephone calls, electronic, or written communications reasonably likely to harass, annoy, alarm, abuse, torment, embarrass, or offend the victim.

Information resources – all networks, software, equipment, facilities, and devices that are designed, built, operated, and maintained to collect, process, store, retrieve, display, or transmit UT Southwestern information.

Sexual Assault – a form of sexual violence that includes any offense that meets the definition of rape, fondling, incest, or statutory rape:

- a) **Rape:** the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- b) **Fondling:** The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.

- c) *Incest*: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- d) *Statutory Rape*: Sexual intercourse with a person who is under the statutory age of consent.

Sexual Violence – physical sexual acts perpetrated against a person’s will or where a person is incapacitated or otherwise incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

Stalking – engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition:

- a) *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person’s property.
- b) *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
- c) *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

Students – individuals who are enrolled and in attendance at the UT Southwestern Medical School, the Graduate School of Biomedical Sciences, or the School of Health Professions.

Trainees – residents, fellows, and postdoctoral scholars appointed to academic training positions.

UT Southwestern Premises – any area owned, operated, leased, occupied, or controlled by UT Southwestern, including buildings and structures, grounds, parking structures, enclosed bridges and walkways, sidewalks, parking lots, and UT Southwestern owned or leased vehicles.

UT Southwestern Resources – a moveable tangible item placed into service for UT Southwestern operations, with the benefit of the item extending beyond one year from the date of the acquisition (e.g., furniture, modular furniture, equipment, computers, weapons, etc.), as well as intangible items such as information resources or intellectual property.

Weapon – includes a firearm, explosive weapon, machine gun, short-barrel firearm, firearm silencer, knuckles, armor-piercing ammunition, zip gun, chemical dispensing device (other than a small chemical dispenser sold commercially for personal protection), tire deflation device, illegal knife, switchblade knife, or club.

PREVIOUS HANDBOOK POLICY CHAPTER AND NUMBER

Not applicable.

RELATED STATUTES, OTHER POLICIES, REQUIREMENTS, OR STANDARDS

- Regents’ Rule 30103 Standards of Conduct
- EMP-351 Discipline and Discharge of Classified Employees
- EDU-151 Violations of Standards of Conduct
- EDU-116 Sex Discrimination – Sexual Misconduct, Harassment, and Violence
- EDU-116P-01 Sex Discrimination Complaint and Resolution
- SEC-155 Prohibition of Weapons on Campus
- ISR-104 Acceptable Use of Information Resources

- ETH-201 Protection from Retaliation
- ETH-154 Sexual Harassment and Sexual Misconduct
- ETH-151P-01 Equal Opportunity Complaint Investigation and Resolution Procedure
- Chapter 261, Texas Health and Safety Code
- Chapter 48, Texas Human Resources Code
- Chapter 91, Texas Family Code
- Chapter 42, Texas Penal Code
- Chapter 261, Texas Family Code
- Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681

REVISIONS AND UPDATES

December 2, 2015: Added guidance to report incidents of sexual violence to the Office of Diversity & Inclusion and Equal Opportunity, Equal Opportunity Division.

May 15, 2015: Revised the definitions of Consent, Dating Violence, Domestic and Family Violence, Sexual Assault, Sexual Violence, and Stalking to align with the model policy from the UT System Office of General Counsel.

CONTACTS AND RESOURCES

Campus-wide Resources

University Police

- On-Campus Emergency Number: 911
- Off-Campus Emergency/Cell Number: 214-648-8911
- On-Campus Non-Emergency Number: 88311
- Off-Campus Non-Emergency Number: 214-648-8311

"Report a Crime" via the University Police Crime Prevention web page

University Police Annual Security Report

UT Southwestern Emergency Response Guide

Office of Compliance 214-648-6024

Compliance Hotline 877-507-7319

The Compliance Hotline is a confidential third-party reporting service that operates 24 hours a day, 7 days a week, and 365 days a year. Calls can be made anonymously or you may leave your name. Allegations are forwarded to UT Southwestern and will be promptly investigated.

Title IX Coordinator or Deputy Title IX Coordinator

The Title IX Coordinators have specialized training and are knowledgeable about sexual violence, including domestic violence, dating violence, sexual assault and stalking. They can assist individuals affected by sexual violence with accessing campus and community resources and pursuing a complaint.

Employee Resources

Employee Assistance Program

- 214-648-5330 or toll-free at 800-386-9156
- Email: eap@utsouthwestern.edu

Office of Human Resources

- 214-648-9810
- Designated Employee Relations Representatives

Student and Trainee Resources

- Office of Student and Alumni Affairs: 214-648-5617
- Student Wellness and Counseling Services: 214-645-8690
- Southwestern Medical School – Office of the Associate Dean for Student Affairs: 214-648-2168
- Southwestern Graduate School – Office of the Dean: 214-648-0715
- School of Health Professions – Office of the Dean: 214-648-1500
- Office of Graduate Medical Education: 214-648-3433



Institutional Handbook of Operating Procedures	
Policy 3.2.4	
Section: Employee Policies	Responsible Vice President: Senior Vice President & General Counsel
Subject: Regulatory Compliance	Responsible Entity: UTMB Department of Internal Investigations Title IX Coordinator

I. Title

Sexual Harassment and Sexual Misconduct Policy.

II. Policy

- A. The University of Texas Medical Branch (UTMB) is committed to maintaining a learning and working environment that is free from discrimination based on sex in accordance with Title IX of the Higher Education Amendments of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act) which requires institutions to provide mechanisms for reporting specific crimes that occur on or near college campuses. Sexual misconduct is a form of sex discrimination and will not be tolerated. For purposes of this policy, the term “sexual misconduct” includes sexual harassment, sexual violence, sexual assault, stalking, domestic violence and dating violence. Individuals who engage in sexual misconduct and other inappropriate sexual conduct will be subject to disciplinary action.
- B. UTMB will take prompt disciplinary action against any individuals or organizations within its control that violate this Policy. UTMB encourages any student, faculty, staff or visitor to promptly report violations of this Policy to an individual identified in Section IV.

III. Applicability

This Policy applies to all UTMB administrators, faculty, staff, students, and third parties within the University’s control, including visitors and applicants for employment. Correctional Managed Care (“CMC”) employees are protected under this policy; however, reporting and investigations may differ from those outlined in this policy. It applies to conduct regardless of where it occurs, including off UTMB property, if it potentially affects the complainant’s education or employment with UTMB. It also applies regardless of the gender, gender identity or sexual orientation of the complainant or the respondent. In addition, it applies whether the complaint was made by or against a third party, and whether the complaint was made verbally or in writing.

IV. Filing a Complaint and Reporting Violations.

A. Title IX Coordinator

All administrators, faculty, staff, students, and third parties are strongly encouraged to immediately report any incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct to the Title IX Coordinator or Deputy Coordinators.

1. Anonymity. Individuals wishing to remain anonymous can file a complaint in any manner, including by telephone or written communication with the Title IX Coordinator or a Deputy Coordinator; however, electing to remain anonymous may greatly limit UTMB's ability to stop the harassment, collect evidence, or take effective action against individuals or organizations accused of violating the Policy.
2. Confidentiality. UTMB has an obligation to maintain an environment free of sex discrimination, thus many UTMB employees and faculty members have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in strict confidence may use the resources outlined in Section IV.D. below.
3. Timeliness of Complaint. Complaints should be reported as soon as possible after the complainant becomes aware of the inappropriate conduct. Delays in reporting can greatly limit the University's ability to stop the harassment, collect evidence, and/or take effective action against individuals or organizations accused of violating the Policy.

B. Reporting Options for Correctional Managed Care Employees.

Correctional Managed Care employees should report incidents of sexual misconduct and other inappropriate sexual conduct to the appropriate Human Resources Regional Leader.

C. Responsible Employees.

1. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees. A Responsible Employee is a UTMB employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, advisors, graduate teaching assistants, and faculty who have a responsibility for students in the following capacities: teaching; advising; coaching or mentoring; or supervising in a clinical setting. Employees with confidentiality obligations as defined in Section IV.D.¹ are not included in the definition of Responsible Employee.
2. Responsible Employees can find contact information for the Title IX Coordinator and Deputy Coordinators at the following website: <http://www.utmb.edu/studentservices/titleIX.asp>. If a Responsible Employee does not report incidents of alleged sexual harassment within three (3) business days to the Title IX Coordinator, he or she could be subject to disciplinary action, up to and including termination. A Responsible Employee must immediately report alleged acts of sexual violence to the Title IX Coordinator; any delay beyond 24 hours could result in disciplinary action, up to and including termination.

D. Reporting to Law Enforcement.

¹ For example, a student may make a complaint to an employee in the Dean of Students' Office, a faculty member or UTMB police. Each of these individuals is considered a Responsible Employee and accordingly each is obligated to report the complaint to the Title IX Coordinator or other appropriate designee.

1. Complaints of sexual misconduct may also be made to University of Texas Medical Branch at Galveston Police Department (UTMB Police Department) at (409) 772-1111 (non-emergency) or 911 (emergency) or to the City of Galveston Police Department at (409) 765-3600 (non-emergency) or 911 (emergency) or to other local law enforcement authorities. The Title IX Coordinator can help individuals contact these law enforcement agencies. Employees and students with protective or restraining orders relevant to a complaint are encouraged to provide a copy to the UTMB Police Department.
2. If a complaint of sexual misconduct is reported to the UTMB Police Department, it will advise the complainant of his or her right to file a complaint under this Policy. To the extent allowed by law and UTMB policy, the UTMB Police Department will also notify the Title IX Coordinator of the complaint, and provide the Title IX Coordinator or the individual investigating the complaint access to any related UTMB law enforcement records, so long as doing so does not compromise any criminal investigation.

E. Confidential Support and Resources.

Physical and mental health care professionals and pastoral counselors (including those who act in that role under the supervision of these individuals), are prohibited by confidentiality laws from reporting any information about an incident to anyone, in any way that identifies the victim, without the victim's permission. Thus, students may discuss an incident with a counselor in Counseling and Psychological Services, a health care provider in Health Services, the clergyperson of the student's choice, or an off-campus resource (i.e. rape crisis center, doctor, psychologist, etc.) without concern that the incident will be reported to the Title IX Coordinator. Employees may also seek assistance from the Employee Assistance Program, their own personal health care provider, the clergyperson of the employee's choice, or an off-campus rape crisis resource without concern that the incident will be reported to the Title IX Coordinator.

Community resources that provide such services are:

Resource & Crisis Center of Galveston County, Inc.
Local 24 Hour Hotline: 409-765-SAFE (7233)
Free 24 Hour Hotline: 7-888-919-SAFE (7233)
www.rccgc.org

F. Immunity.

In an effort to encourage reporting of sexual misconduct, UTMB may grant immunity from student disciplinary action to a person who voluntarily initiates a report of sexual misconduct or assists a complainant, if that person acts in good faith in reporting a complaint or participating in an investigation. This immunity does not extend to the person's own violations of this Policy.

G. Title IX Coordinator and Deputy Coordinator Contact Information.

Primary Office: Rebecca Sealy Suite 2.302
Other Office: Jamail Student Center. 2.126
Title IX Phone: 409-772-2112
Title IX Email: Title.IX@utmb.edu

H. Reporting to Outside Entities.

An individual wishing to make a complaint may also contact the U.S. Department of Education, Office for Civil Rights (OCR) to complain of sex discrimination or sexual misconduct including sexual violence:

Office for Civil Rights

U.S. Department of Education
1999 Bryan Street, Suite 1620
Dallas, TX 75201-6810
Phone: (214) 661-9600
FAX: (214) 661-9587

Employees may also contact the U.S. Equal Employment Opportunity Commission to complain of sex discrimination or sexual harassment:

U.S. Equal Employment Opportunity Commission
Dallas District Office
207 S. Houston Street, 3rd Floor
Dallas, TX 75202
Phone: (800) 669-4000
FAX: (214) 253-2720

V. Parties' Rights Regarding Confidentiality.

- A.** UTMB has great respect for the privacy of the parties in a complaint. Under federal law, however, Responsible Employees who receive a report of sexual misconduct must share that information with the Title IX Coordinator and/or a Deputy Coordinator. Those individuals may need to act to maintain campus safety and must determine whether to investigate further under Title IX, regardless of the complainant's request for confidentiality.
- B.** In the course of the investigation, UTMB may share information only as necessary with people who need to know to fulfill the purposes of this Policy and applicable law, such as investigators, witnesses, and the respondent. UTMB will take all reasonable steps to ensure there is no retaliation against a complainant. UTMB will comply with the Family Educational Rights and Privacy Act (FERPA), with Texas Education Code Sec. 51.971 and other confidentiality laws as they apply to Title IX investigations. While UTMB cannot guarantee anonymity, UTMB will protect the privacy of all parties to a report of sexual misconduct, to the extent possible.

VI. Victim Resources.

A. Immediate Assistance.

[UTMB Police Department](#)
Emergency On Campus – 911
Emergency Off Campus – (409) 772-1111

1. Healthcare. An individual who experiences any form of sexual, domestic, or dating violence is encouraged to seek immediate medical care. Emergency medical care can be provided at UTMB's Emergency Department or any other hospital emergency room.

[UTMB Emergency Department](#)

901 Harborside Drive
Galveston, Texas 77550

2. Sexual Assault Forensic Exam. Preserving DNA evidence is vital to identifying the perpetrator in a sexual violence case. Victims can undergo a medical exam to preserve physical evidence with or without police involvement. If possible, this should be done immediately. If an immediate medical exam is not possible, individuals who have experienced a sexual assault may have a Sexual Assault Forensic Exam (SAFE) performed by a Sexual Assault Nurse Examiner (SANE) within 4 days of the incident. With the examinee's consent, the physical evidence collected during this medical exam can be used in a criminal investigation; however, a person may undergo a SAFE even without contacting, or intending to contact, the police. To undergo a SAFE, go directly to UTMB's Emergency Department. UTMB's Emergency Department has registered SANE nurses who have been specifically trained to provide comprehensive care to sexual assault survivors.

For more information about the SAFE, see <http://hopelaws.org/> or <https://www.texasattorneygeneral.gov/victims/sapcs.shtml#survivors>. The cost of the forensic portion of the exam is covered by the law enforcement agency that is investigating the assault or, in cases where a report will not be made to the police, the Texas Department of Public Safety. This does not include fees related to medical treatment that are not a part of the SAFE.

Medical care can be provided at UTMB's Student Health and Counseling (for students only), at a local emergency room, or by a private physician. Psychological support can be provided by Student Health and Counseling (students), a referral from Student Health and Counseling, Employee Assistance Program (employees), a referral through the Employee Assistance Program, or a care provider of the individual's choosing.

3. Police Assistance. UTMB encourages individuals who have experienced sexual misconduct to make a report to the police. It is important to note that a police department's geographic jurisdiction depends on where the sexual misconduct occurred. If the incident occurred on UTMB campus, a report may be filed with the [UTMB Police Department](#) by calling (409) 772-2691 or in person at UTMB police headquarters in Rebecca Sealy 2.712 even if time has passed since the assault occurred.

UTMB Police can also assist with filing any protective orders. Reporting an assault to law enforcement does not mean that the case will automatically go to criminal trial or to a UTMB disciplinary hearing. If UTMB police are called, a uniformed officer will be sent to the scene to take a detailed statement. A ride to the hospital may be provided by the UTMB Police. A report may be filed with the UTMB police department even if the

assailant was not a UTMB student or employee. If the incident occurred in the City of Galveston, but off campus, a report may be filed with the Galveston Police Department, even if time has passed since the assault occurred. If a report is made to the police, a uniformed officer will usually be dispatched to the location to take a written report.

4. Counseling and Other Services. A person who has experienced sexual violence is strongly encouraged to seek medical and psychological care even if he or she does not plan to request a SAFE or report the assault to the police. He or she may be prescribed medications to prevent sexually transmitted infections and/or pregnancy even if the police are not contacted or if a SAFE is not performed.

Students desiring counseling should contact:

[Student Health & Counseling](#)

Lee Hage Jamaill Student Center – 3rd Floor

Monday – Friday, 8am to 5 pm – (409) 747-9508

After Hours Care - (409) 772-2222 or (800) 917-8906

Faculty and staff should contact:

[Employee Assistance Program](#)

(409) 772-2485 or (888) 870-8553

B. Interim Measures and Ongoing Assistance.

In addition to the services provided by on- and off-campus providers, UTMB will take immediate and interim measures to assure the safety and well-being of the complainant, to maintain an environment free from harassment, discrimination and retaliation, and to protect the safety and well-being of community members.

For example, if the accused is an employee, interim action may include reassignment and suspension. If the accused is a student, interim action may include suspension, no contact orders, changing living arrangements, modifying the course schedule, or modifying other aspects of the educational environment. Interim action may also include allowing the complainant to move to a new residence hall, change work schedules, alter academic schedules, and withdraw from or retake a class without penalty. Moreover, UTMB may be able to provide additional accommodations for a complainant while an investigation is pending.

VII. Intake Procedures and Protocol.

A. Key Officials in an Investigation.

1. Title IX Coordinator. The Title IX Coordinator is the senior UTMB administrator who oversees the University's compliance with Title IX. The Title IX Coordinator is responsible for leading the administrative investigation of reports of sexual misconduct and is available to discuss options, provide support, explain UTMB policies and procedures, and provide education on relevant issues. The Title IX Coordinator may designate one or more Deputy Title IX Coordinators.

Any member of UTMB community may contact the Title IX Coordinator with questions.

UTMB Department of Internal Investigations

Title IX Coordinator

Rebecca Sealy, Suite 2.302

(409) 772-2112

2. Investigators. The Title IX Coordinator will ensure that complaints are properly investigated under this Policy. The Title IX Coordinator will also ensure that investigators are properly trained at least annually to conduct investigations that occur under this Policy. The Title IX Deputy Coordinators shall supervise and advise the Title IX investigators when conducting investigations and update the Title IX Coordinator as necessary.

B. Assessment of Complaint.

1. The Title IX Coordinator or designee will conduct a preliminary assessment of the complaint and notify the complainant of the methods of resolution which are appropriate based on the facts of the complaint. When both formal and informal resolution is appropriate, the complainant may opt to pursue informal resolution, but may elect to resolve the complaint formally at any point.
2. Informal resolution may be appropriate:
 - a) With a complaint solely of sexual harassment, not including sexual violence as defined in this Policy; and
 - b) When both parties are categorically similar (i.e. employee/employee or student/student).

C. Notification of UTMB Offices Offering Assistance.

After receiving a complaint, the Title IX Coordinator or Deputy Coordinator will refer the complainant to Student Health and Counseling for students or Employee Assistance Program for employees for available resources and assistance.

D. Informal Resolution of Certain Sexual Harassment Complaints. (OPTIONAL)

1. Informal resolution is not permitted for sexual violence cases. A complainant with a complaint other than sexual violence may use this option instead of or before filing a formal complaint, but is not required to do so. Anyone who believes that he or she has been subject to sexual misconduct of any nature may immediately file a formal complaint as described in Section VII. E. of this Policy. An individual wishing to use the informal resolution process should contact the Title IX Coordinator. The Title IX Coordinator will discuss the options available to the complainant dependent upon the allegations.
2. Informal Assistance. In certain sexual harassment complaints, an individual may not wish to file a formal complaint. If the Title IX Coordinator or designee deems informal assistance appropriate, then the individual will be provided assistance in informally resolving the alleged sexual harassment. Assistance may include providing the complainant with strategies for communicating to the offending party that his or her behavior is unwelcomed and should cease, directing a UTMB official to inform the offending party to stop the unwelcomed conduct, or initiating mediation. However,

UTMB may take more formal action, including disciplinary action, to ensure an environment free of sexual harassment or sexual misconduct.

3. Timeframe. Informal resolutions should be completed no later than 10 business days after the Title IX Coordinator receives the request for informal resolution.
4. Confidentiality and Documentation. UTMB will document and record informal resolutions, which will be retained by the Title IX Coordinator in accordance with records retention requirements. If an individual's wish to remain anonymous limits the University's ability to establish facts and eliminate the potential harassment, UTMB will attempt to find the right balance between the individual's desire for privacy and confidentiality and its responsibility to provide an environment free of sexual harassment.

E. Formal Complaint and Investigation.

1. Formal Complaint. To begin the investigation process, the complainant should submit a, written statement which includes the following:
 - a) Complainant's name and contact information;
 - b) The name of the person directly responsible for the alleged violation;
 - c) A detailed description of the conduct or event that is the basis of the alleged violation;
 - d) The date(s) and location(s) of the occurrence(s);
 - e) The names of any witnesses to the occurrence(s);
 - f) The resolution sought; and
 - g) Any documents or information that is relevant to the complaint.
2. UTMB may initiate an investigation regardless of the manner in which a complaint is received or whether a complaint is received at all. However, the complainant is strongly encouraged to file a written complaint. If the complaint is not in writing, the investigator should prepare a statement of what he or she understands the complaint to be and ask the complainant to verify that statement. If a UTMB office, other than the Department of Internal Investigations receives the complaint, it must be referred to the Title IX Coordinator, as soon as possible.
3. **Standard of Proof.**
All investigations under this Policy will use the preponderance of the evidence standard to determine violations of this Policy.
4. Investigation Process.
 - a) An investigator will be assigned to investigate the complaint.
 - b) As part of the investigation process, the complainant and the respondent will be provided notice of the complaint and allowed a reasonable time to respond in writing.
 - c) The complainant and the respondent may present any document or information that is believed to be relevant to the complaint.
 - d) Persons thought to have information relevant to the complaint will be interviewed, and those interviews will be appropriately documented. Both the respondent and the complainant may recommend witnesses for interview and suggest questions

that should be asked. Neither the complainant nor the respondent will normally attend these interviews or the gathering of evidence; however, if either one is permitted to attend, the other will have the same right.

- e) The investigation of a complaint will be concluded as soon as possible after receipt of the written complaint. In investigations exceeding 60 days, a justification for the delay will be presented to and reviewed by the Title IX Coordinator or his/her supervisor.
- f) After the investigation is complete, a written report² will be issued to the Title IX Coordinator. The appropriate administrator will depend on the status of the respondent (i.e., student, faculty or employee). The report will include factual findings and a preliminary conclusion of whether a policy violation occurred (based on a “preponderance of the evidence” standard).
- g) After the written report is completed, the complainant and respondent will receive notification of the outcome of the investigation in writing via email. The letter will summarize the findings of the investigation in compliance with FERPA and Texas Education Code, Section 51.971. The letter will contain enough detail to allow the complainant and respondent to comment on the adequacy of the investigation or the findings. Each will have seven (7) business days from the date which the email was sent to submit written comments regarding the investigation to the Title IX Coordinator.
- h) Within seven (7) business days after the deadline for receipt of comments from the complainant and respondent, the Title IX Coordinator or his or her designee will:
 - (1) Request further investigation into the complaint;
 - (2) Dismiss the complaint based on a determination that no violation of policy or inappropriate conduct occurred; or
 - (3) Refer the matter for disciplinary action under the applicable disciplinary policies and procedures based on violation of UTMB policy in accordance with Section I. below.
- i) The complainant and the respondent will be informed concurrently in writing of the decision.
- j) The appropriate administrator will impose disciplinary action or sanction(s) in accordance with the applicable policies and procedures dependent on the status of the respondent (i.e., student, faculty or employee).

F. Timelines.

- 1. Barring any unforeseen and reasonable delays, UTMB will resolve complaints under this Policy no later than 60 calendar days after a Responsible Employee knew, or in the exercise of reasonable care should have known about the action on which the complaint is based. If the investigation and resolution exceeds 60 calendar days, UTMB will notify all parties in writing of the reason for the delay and the expected time frame for completion. . Best efforts will be made to complete the process in a timely manner by balancing principles of thoroughness and fundamental fairness with promptness.
- 2. Delay for Investigation by Law Enforcement.

² Appropriate report redactions will be made to comply with Texas Education Code, Section 51.971.

- a) At the request of law enforcement, UTMB may defer its fact-gathering until after the initial stages of a criminal investigation. UTMB will nevertheless communicate with the complainant regarding his/her Title IX rights, procedural options, the status of the investigation, and the implementation of interim measures to ensure his/her safety and well-being. UTMB will also communicate with the respondent regarding his/her Title IX rights, procedural options and information regarding the status of the investigation. UTMB will promptly resume its fact-gathering as soon as law enforcement has completed its initial investigation, or if the fact-gathering is not completed in a reasonable time.
- b) The filing of a complaint under this Policy does not excuse the complainant from meeting time limits imposed by outside agencies. Likewise, the applicable civil or criminal statute of limitations will not affect UTMB's investigation of the complaint.

G. Remedies.

- 1. In addition to sanctions that may be imposed pursuant to the appropriate disciplinary policy, UTMB will take appropriate action(s) to resolve complaints of sexual misconduct, prevent any recurrence and, as appropriate, remedy any effects. These actions include but are not limited to:
 - a) Imposing sanctions against the respondent, including attending training, suspension, termination or expulsion;
 - b) Ensuring the complainant and respondent do not share classes, working environments or extracurricular activities;
 - c) Making modifications to the on campus living arrangements of the respondent or complainant (if the complainant requests to be moved);
 - d) Providing comprehensive, holistic victim services including medical, counseling and academic support services, such as tutoring;
 - e) Providing the complainant extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;
 - f) Determining whether sexual misconduct adversely affected the complainant's UTMB standing;
 - g) Designating an individual specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist victims whenever needed;
 - h) Conducting, in conjunction with UTMB leaders, a UTMB climate check to assess the effectiveness of efforts to ensure that UTMB is free from sexual misconduct, and using that information to inform future proactive steps that UTMB will take;
 - i) Providing targeted training for a group of students if, for example, the sexual misconduct created a hostile environment in a residence hall, fraternity or sorority, or on an athletic team. Bystander intervention and sexual misconduct prevention programs may be appropriate;
 - j) Issuing policy statements or taking other steps to clearly communicate that UTMB does not tolerate sexual misconduct and will respond to any incidents and to any individual who reports such incidents.

2. These remedies are separate from, and additional to, any interim measures that may have been imposed prior to the completion of the investigation. If the complainant did not take advantage of a specific service (e.g., counseling) offered as an interim measure, the complainant should still be offered, and is still entitled to, appropriate final remedies that may include previously declined services. A refusal at the interim stage does not mean the refused service or set of services should not be offered as a remedy.

H. Sanctions and Discipline.

1. Disciplinary action against faculty and employees will be handled under UTMB's policies for discipline and dismissal of faculty and employees, as follows:

- [IHOP Policy 3.1.9 Discipline, Dismissal, and Appeal for Classified Employees](#)
- [IHOP Policy 5.3.10 Termination](#)
- UTMB Police Officers are subject to disciplinary action in accordance with The University of Texas System Police Policy 208 Discipline and Appeal Procedure.

Disciplinary actions for individuals not covered under the above mentioned policies may include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, and dismissal.

2. The Student Affairs Dean of each school will impose disciplinary action, if any, against a student under [IHOP Policy 7.1.3 Student Conduct and Discipline](#). Student disciplinary actions may include, but are not limited to, probation, suspension, or expulsion.
3. In accordance with federal law, when disciplinary action is commenced because of a violation of this Policy, the above policies will provide both parties equal opportunities in all aspects of the process including notices and advisor representation. Further, the standard of proof in determining the outcome will be the "preponderance of the evidence," as defined in this policy.

VIII. Provisions Applicable to the Investigation.

- A. Assistance. During the investigation process, an advisor, who may be an attorney, may assist a complainant or respondent; however, the advisor may not actively participate in meetings or interviews.
- B. Time Limitations. The Title IX Coordinator or appropriate administrator on a written showing of good cause by the complainant, respondent, or the University may modify time limitations in these procedures.
- C. Concurrent Criminal or Civil Proceedings. UTMB will not wait for the outcome of a concurrent criminal or civil justice proceeding to take action. UTMB has an independent duty to investigate complaints of sexual misconduct. (Except as provided in Section VII.F.2 above).

- D. Documentation. UTMB shall document complaints and their resolution and retain copies of all materials in accordance with state and federal records laws and UTMB policy.

IX. Dissemination of Policy and Educational Programs.

- A. This Policy will be made available to all UTMB administrators, faculty, staff, and students online at http://www.utmb.edu/policies_and_procedures/toc.aspx and in UTMB publications. Periodic notices will be sent to UTMB administrators, faculty, staff and students about UTMB's Sexual Harassment/Sexual Misconduct Policy. The notice will include information about sexual misconduct, including the complaint procedure, and about UTMB's disciplinary policies and available resources, such as support services, health, and mental health services. The notice will specify the right to file a complaint under this Policy and with law enforcement and will refer individuals to designated offices or officials for additional information.
- B. **Ongoing Sexual Misconduct Training.** The University's commitment to raising awareness of the dangers of sexual misconduct includes offering ongoing education through annual training and lectures by faculty, staff, mental health professionals, and/or trained UTMB personnel. UTMB will periodically educate and train employees and supervisors regarding the Policy and conduct that could constitute a violation of the Policy. Preventive education and training programs will be provided to UTMB administrators, faculty, staff, and students and will include information about risk reduction, including bystander intervention. Training on sexual harassment and sexual violence policy and procedures will be provided to law enforcement personnel, including training on their obligation to advise UTMB administrators, faculty, staff, and students of their rights to file a complaint under this Policy and their right to file a criminal complaint.
- C. **Training of Coordinators, Investigators, Hearing and Appellate Authorities.** All Title IX Coordinators, Deputy Coordinators, investigators, and those with authority over sexual misconduct hearings and appeals will receive training each academic year about offenses, investigatory procedures, due process, and UTMB policies related to sexual misconduct to ensure the safety of victims and promote accountability.

X. Additional Conduct Violations.

- A. **Retaliation.**
Any administrator, faculty member, student or employee who knowingly and intentionally retaliates in any way against an individual who has brought a complaint under this Policy, participated in an investigation or disciplinary process of such a complaint, or opposed any unlawful practice, is subject to disciplinary action up to and including dismissal or separation from the University.
- B. **False Complaints.**
Any person who knowingly and intentionally files a false complaint under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. A finding of non-responsibility does not indicate a report was false.
- C. **Interference with an Investigation.**
Any person who knowingly and intentionally interferes with an ongoing investigation conducted under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. Interference with an ongoing investigation may include, but is not limited to:

1. Attempting to coerce, compel, or prevent an individual from providing testimony or relevant information;
2. Removing, destroying, or altering documentation relevant to the investigation; or
3. Providing false or misleading information to the investigator, or encouraging others to do so.

D. No Effect on Pending Personnel or Academic Actions Unrelated to the Complaint.

The filing of a complaint under this Policy will not stop or delay any action unrelated to the complaint, including: (1) any evaluation or disciplinary action relating to a complainant who is not performing up to acceptable standards or who has violated UTMB rules or policies; (2) any evaluation or grading of students participating in a class, or the ability of a student to add/drop a class, change academic programs, or receive financial reimbursement for a class; or (3) any job-related functions of a UTMB employee. Nothing in this section limits UTMB's ability to take interim action.

XI. Documentation.

UTMB will confidentially maintain information related to complaints under this Policy, as required by law. The Title IX Coordinator will document each complaint or request for assistance under this Policy, whether made by a victim, a third party, or anonymously, and will review and retain copies of all reports generated as a result of investigations. These records will be kept confidential to the extent permitted by law. Any person who knowingly and intentionally makes an unauthorized disclosure of confidential information contained in a complaint or otherwise related to the investigation of a complaint under this Policy is subject to disciplinary action.

XII. Annual Reporting and Notice.

The University's Title IX General Policy Statement will be made available to all students, faculty, and employees online, in required publications and in specified departments. On an annual basis, and upon any updates to this Policy, UTMB will send notice of its compliance with Title IX as required by law. The annual notice shall designate the Title IX Coordinator and Deputy Coordinators, explain which offenses are prohibited and where to report violations of this Policy, provide information regarding victim resources, and provide a link to this Policy and other related UTMB websites.

XIII. Definitions

Consent: A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) intimidation, (d) coercion, (e) incapacitation or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to have sexual activity.

A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates willingness to engage in each instance of sexual activity.

The definition of consent for the crime of sexual assault in Texas can be found in Section 22.011(b) of the Texas Penal Code.³

Dating Violence⁴: Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim. The existence of such a relationship will be determined by the victim with consideration of the following factors:

- a) The length of the relationship;
- b) The type of relationship; and
- c) The frequency of interaction between the persons involved in the relationship

Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include acts covered under the definition of domestic violence.

Domestic (Family) Violence⁵: includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family

³ Texas Penal Code, Section 22.011(b) states that a sexual assault is without consent if: (1) the actor compels the other person to submit or participate by the use of physical force or violence; (2) the actor compels the other person to submit or participate by threatening to use force or violence against the other person, and the other person believes that the actor has the present ability to execute the threat; (3) the other person has not consented and the actor knows the other person is unconscious or physically unable to resist; (4) the actor knows that as a result of mental disease or defect the other person is at the time of the sexual assault incapable either of appraising the nature of the act or of resisting it; (5) the other person has not consented and the actor knows the other person is unaware that the sexual assault is occurring; (6) the actor has intentionally impaired the other person's power to appraise or control the other person's conduct by administering any substance without the other person's knowledge; (7) the actor compels the other person to submit or participate by threatening to use force or violence against any person, and the other person believes that the actor has the ability to execute the threat.

⁴ Dating Violence is defined by the Texas Family Code, Section 71.0021 as: (a) an act, other than a defensive measure to protect oneself, by an actor that: (1) is committed against a victim: (A) with whom the actor has or has had a dating relationship; or (B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and (2) is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or sexual assault. (b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of: (1) the length of the relationship; (2) the nature of the relationship; and (3) the frequency and type of interaction between the persons involved in the relationship. (c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b). Texas Penal Code, Section 22.01 provides the criminal penalties associated with Dating Violence.

⁵ Family Violence is defined by the Texas Family Code Section 71.004 as: (1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or sexual assault, but does not include defensive measures to protect oneself; (2) abuse, as that term is defined by Sections 261.001(1)(C), (E), and (G), by a member of a family or household toward a child of the family or household; or (3) dating violence, as that term is defined by Section 71.0021.

Texas Penal Code Section 22.01 provides the criminal penalties associated with Domestic (Family) Violence.

violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.

Hostile Environment: exists when sex-based harassment is sufficiently severe or pervasive to deny or limit the individual's ability to participate in or benefit from the University's programs or activities or an employee's terms and conditions of employment. A hostile environment can be created by anyone involved in a University's program or activity (e.g., administrators, faculty members, employees, students, and UTMB visitors).

In determining whether sex-based harassment has created a hostile environment, UTMB considers the conduct in question from both a subjective and objective perspective. It will be necessary, but not adequate, that the conduct was unwelcome to the individual who was harassed. To conclude that conduct created or contributed to a hostile environment, UTMB must also find that a reasonable person in the individual's position would have perceived the conduct as undesirable or offensive.

To ultimately determine whether a hostile environment exists for an individual or individuals, UTMB considers a variety of factors related to the severity, persistence, or pervasiveness of the sex-based harassment, including: (1) the type, frequency, and duration of the conduct; (2) the identity and relationships of the persons involved; (3) the number of individuals involved; (4) the location of the conduct and the context in which it occurred; and (5) the degree to which the conduct affected an individual's education or employment.

The more severe the sex-based harassment, the less need there is to show a repetitive series of incidents to find a hostile environment. Indeed, a single instance of sexual assault may be sufficient to create a hostile environment. Likewise, a series of incidents may be sufficient even if the sex-based harassment is not particularly severe.

First Amendment Considerations: this Policy does not impair the exercise of rights protected under the First Amendment. The University's sexual misconduct policy prohibits only sex-based harassment that creates a hostile environment. In this and other ways, UTMB applies and enforces this Policy in a manner that respects the First Amendment rights of students, faculty, and others.

Incapacitation: A state of being that prevents an individual from having the capacity to give consent. For example, incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability.

Intimidation: Unlawfully placing another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.

Other Inappropriate Sexual Conduct: Includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature directed towards another individual that does not rise to the level of sexual harassment but is unprofessional, inappropriate for the workplace or classroom and is not protected speech. It also includes consensual sexual conduct that is unprofessional and inappropriate for the workplace or classroom.

Preponderance of the Evidence: The greater weight of the credible evidence. Preponderance of the evidence is the standard for determining allegations of sexual misconduct under this Policy. This standard is satisfied if the action is deemed more likely to have occurred than not.

Responsible Employee: A UTMB employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, supervisory staff, advisors, and graduate teaching assistants, and faculty who have a responsibility for students in the following capacities: teaching; advising; coaching or mentoring; or supervising in a clinical setting. Employees with confidentiality obligations as defined in Section IV.D. are not included in the definition of responsible employee. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees.

Retaliation: Any adverse action threatened or taken against someone *because* the individual has filed, supported, provided information in connection with a complaint of sexual misconduct or engaged in other legally protected activities. Retaliation includes, but is not limited to, intimidation, threats or harassment against any complainant, witness or third party.

Sexual Assault⁶: An offense that meets the definition of rape, fondling, incest, or statutory rape:

- a) *Rape:* the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- b) *Fondling:* The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.
- c) *Incest:* Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- d) *Statutory Rape:* Sexual intercourse with a person who is under the statutory age of consent.

Sexual Exploitation: Occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit, or to benefit anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material by email, text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity, letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.

⁶ Sexual Assault is defined by Texas Penal Code, Section 22.011 as intentionally or knowingly:

- a) Causing the penetration of the anus or sexual organ of another person by any means, without that person's consent; or
- b) Causing the penetration of the mouth of another person by the sexual organ of the actor, without that person's consent; or
- c) Causing the sexual organ of another person, without that person's consent, to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor.

Sexual Harassment: Unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when submission to such conduct is made either explicitly or implicitly a term or condition of a person's student status, employment, or participation in UTMB activities; such conduct is sufficiently severe or pervasive that it interferes with an individual's education, employment, or participation in UTMB activities, or creates an objectively hostile environment; or such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's education, employment, or participation in UTMB activities, or creating an intimidating, hostile, or offensive environment. Sexual harassment is a form of sex discrimination that includes:

- a) Sexual violence, sexual assault, stalking, domestic violence and dating violence as defined herein.
- b) Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - i. Unwelcome intentional touching; or
 - ii. Deliberate physical interference with or restriction of movement.
- c) Verbal conduct not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic idea, including oral, written, or symbolic expression, including but not limited to:
 - i. Explicit or implicit propositions to engage in sexual activity;
 - ii. Gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;
 - iii. Gratuitous remarks about sexual activities or speculation about sexual experiences;
 - iv. Persistent, unwanted sexual or romantic attention;
 - v. Subtle or overt pressure for sexual favors;
 - vi. Exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars or other materials; or
 - vii. Deliberate, repeated humiliation or intimidation based upon sex.

Sexual Misconduct: A broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual assault, sexual exploitation, sexual intimidation, sexual harassment, domestic violence, dating violence, and stalking. Sexual misconduct can be committed by men or women, strangers or acquaintances, and can occur between or among people of the same or opposite sex.

Sexual Violence: Physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

Stalking⁷: Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition--

⁷ Stalking as defined by Texas Penal Code, Section 42.072 is when an individual on more than one occasion and pursuant to the same scheme or course of conduct that is directed specifically at another person, knowingly engages in conduct that:

a) is considered harassment, or that the actor knows or reasonably should know the other person will regard as threatening:

- a) *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property.
- b) *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
- c) *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

XIV. Relevant Federal and State Statutes

- [Title IX of the Higher Education Amendments of 1972](#) (Title IX)
- [Title VII of the Civil Rights Act of 1964](#) (Title VII)
- [Campus Sexual Violence Elimination Act](#) (SaVE Act)

XV. Relevant System Policies and Procedures

- [The University of Texas System Police Policy 208 Discipline and Appeal Procedure](#)

XVI. Related UTMB Policies and Procedures

- [IHOP Policy 3.1.9 Discipline, Dismissal, and Appeal for Classified Employees](#)
- [IHOP Policy 5.3.10 Termination](#)

XVII. Dates Approved or Amended

<i>Originated: 7/01/2015</i>	
<i>Reviewed with Substantive Changes</i>	<i>Reviewed without Substantive Changes</i>

XVIII. Contact Information

UTMB Department of Internal Investigations
 Title IX Coordinator
 Rebecca Sealy, Suite 2.302
 (409) 772-2112

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- i. bodily injury or death for the other person;
 - ii. bodily injury or death for a member of the other person's family or household or for an individual with whom the other person has a dating relationship; or
 - iii. that an offense will be committed against the other person's property;
- b) causes the other person, a member of the other person's family or household, or an individual with whom the other person has a dating relationship to be placed in fear of bodily injury or death or in fear that an offense will be committed against the other person's property, or to feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended; and
- c) would cause a reasonable person to:
- i. fear bodily injury or death for himself or herself;
 - ii. fear bodily injury or death for a member of the person's family or household or for an individual with whom the person has a dating relationship;
 - iii. fear that an offense will be committed against the person's property; or
 - iv. feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended.

Policy Number: 59

Sexual Misconduct

Subject:

Reporting of sexual misconduct, including sexual harassment and sexual assault. The university's notice of nondiscrimination can be found in [HOOP Policy 183 Equal Opportunity, Discrimination and Harassment](#).

Scope:

Members of the university community, including employees, students, residents and other trainees, visitors, volunteers (including faculty appointed without salary), contractors, vendors, consultants, and observers, as well as applicants for employment or admission.

Date Reviewed: August 2015

Responsible Office: Human Resources; Office of Academic and Research Affairs

Responsible Executive: Vice President and Chief Human Resources Officer; Executive Vice President of Academic and Research Affairs

I. POLICY AND GENERAL STATEMENT

The University of Texas Health Science Center at Houston ("university") is committed to providing an academic environment free from discrimination, which includes all forms of sexual misconduct. Sexual misconduct will not be tolerated, and individuals who engage in such conduct will be subject to disciplinary action.

Title IX of the Education Amendments of 1972 prohibits discrimination based on sex in educational programs and activities that receive federal financial assistance. To ensure compliance with Title IX and other federal and state civil rights laws, the university has developed policies that prohibit sexual misconduct in all of its forms. These policies and the procedures to address alleged policy violations are applicable to all complaints or reports of sexual misconduct made by or against any member of the university community. These policies and procedures apply to conduct that affects the complainant's education or employment with the university regardless of where it occurs and regardless of the gender, gender identity, or sexual orientation of the complainant or the respondent.

The Associate Vice President for Academic and Research Affairs serves as the university's Title IX Coordinator. The Director, Human Resources serves as the university's Deputy Title IX

Coordinator. All activities related to prevention of sexual misconduct and responses to reports of sexual misconduct are jointly coordinated by the Title IX and Deputy Title IX

Coordinators. These activities may include the following:

- Communicating information to all university constituents regarding the protections afforded by Title IX and the process to file complaints;
- Coordinating university training regarding Title IX;
- Reviewing all university policies and procedures, when applicable, to ensure institutional compliance with Title IX;
- Coordinating with other offices of the university to ensure that complaints are addressed promptly and equitably and that investigations are carried out in compliance with university policies;
- Directing remediation as appropriate; and
- Initiating and conducting Title IX administrative reviews and campus climate surveys to assess the safety risk to the university's environment based on a pattern of behavior and directing intervention measures, as appropriate.

For purposes of this policy, references to the "Title IX Coordinator" will encompass the efforts of the Title IX Coordinator as well as his or her designee(s).

Any member of the university community who participates in proceedings under this policy regarding a complaint, response and/or investigation may not disclose any information or documents related thereto unless required to do so by law or university policy and only after consultation with the Office of Legal Affairs.

II. DEFINITIONS

Consent: A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent. Consent is not effective if it results from: (a) the use of physical force; (b) a threat of physical force; (c) intimidation, (d) coercion; (e) incapacitation or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to engage in sexual activity.

A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity.

Hostile Environment: exists when sex-based harassment is sufficiently severe and pervasive to deny or limit the individual's ability to participate in or benefit from the university's programs or activities or an employee's terms and conditions of employment. A hostile environment can be created by anyone involved in the university community.

Other Trainees: Postdoctoral research fellows, clinical fellows, and visiting students participating in a university educational or training activity.

Preponderance of the Evidence: The greater weight of the credible evidence. Preponderance of the evidence is the standard for determining allegations of sexual misconduct under this policy. This standard is satisfied if the action is deemed more likely to have occurred than not based on the greater weight of the credible evidence.

Sexual Misconduct: A broad term encompassing a range of nonconsensual activity or unwelcome sexual advances, requests for sexual favors or conduct of a sexual nature directed toward another individual. Sexual misconduct can be committed by men or women, strangers or acquaintances, and can occur between or among people of the same or opposite sex. The term includes:

- **Dating Violence:** Violence committed by a person who is or has been in a romantic or intimate relationship with the victim. The existence of such a relationship will be determined based on its length, type, and frequency of interaction of the persons involved. Dating violence includes physical or sexual abuse, or the threat of such abuse. It does not include acts covered under the definition of domestic (family) violence.
- **Domestic (Family) Violence:** Felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.
- **Sexual Assault:** An offense that meets the definition of rape, fondling, incest, or statutory rape:
 - *Rape:* the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
 - *Fondling:* The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.
 - *Incest:* Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

- *Statutory Rape*: Sexual intercourse with a person who is under the statutory age of consent.
- **Sexual Harassment**: A form of sex discrimination that includes, but is not limited to, unwelcome sexual advances, requests for sexual favors, and/or conduct of a sexual nature when:
 - Submission to such conduct is made explicitly or implicitly a term or condition of an individual's employment, education, student status or participation in university programs or activities; or
 - Submission to or rejection of such conduct by an individual is used as a basis for decisions pertaining to an individual's employment, education, student status or participation in university programs or activities; or
 - Such conduct would be regarded by a reasonable person as so severe and pervasive as to create an intimidating, hostile or offensive environment that substantially interferes with an individual's work, education, student status or participation in university programs or activities.
- **Stalking**: a course of conduct directed at a specific person that would cause a reasonable person to fear for her, his, or others' safety, or to suffer substantial emotional distress.

III. PROCEDURE

The university encourages those who have experienced any form of sexual misconduct to report those offenses as soon as possible to the Title IX or Deputy Title IX Coordinator or Equal Opportunity Administrator as outlined in this policy. Delays in reporting can greatly limit the university's ability to stop the sexual misconduct, collect evidence, and/or take effective action against individuals or organizations accused of violating this policy.

Faculty, supervisors, administrators, university officials and Student Affairs Offices are required to report promptly to the Title IX Coordinator incidents of sexual misconduct that come to their attention. Faculty, supervisors, administrators, university officials and Student Affairs Offices should limit their interactions with the complainant regarding the reported incident while referring him or her to the appropriate resources. All other members of the university community who witness or are aware of suspected incidents of sexual misconduct should immediately report the incident as outlined in this policy. Such reports will be documented in writing by the Title IX Coordinator.

A. Reporting a Complaint

All incidents, reports, and complaints alleging that a member of the university community is a victim of sexual misconduct should be reported to the Title IX or Deputy Title IX Coordinator or the Equal Opportunity Administrator at 713-500-3131 or in person at UCT Suite 150. Complaints may also be reported via the Compliance hotline (1-888-472-9868) or [web](#)

[report](#). Upon receipt, the recipient of the report will review and forward the report to the Title IX Coordinator.

If violence is occurring or the threat of violence is immediate, 911 should be called. The university encourages those who have experienced sexual assault, domestic violence, dating violence, or stalking to report the offense immediately to The University of Texas Police – Houston (UTP-H) by calling 713-792-7867 (713-792-STOP).

Additionally, members of the university community with protective or restraining orders relevant to a complaint are encouraged to provide a copy to UTP-H. If a complaint of sexual misconduct is made to UTP-H, UTP-H shall advise the complainant of his or her right to file a complaint under this policy.

Upon receipt of a complaint, the Title IX Coordinator will provide the complainant with a written notice containing information regarding:

- his or her rights and options under this policy;
- the importance of preserving evidence that may assist in proving that a criminal offense occurred or that may be helpful in obtaining a protective order;
- available resources, such as support services, health, and mental health services;
- how to request changes in academic, living, or working situations or other protective measures; and
- an explanation of the university's disciplinary procedures in cases of sexual misconduct.

Additional information can be found at <https://www.uth.edu/hr/department/equal-opportunity/index.htm>.

1. Confidentiality

Individuals wishing to remain anonymous may report an alleged violation of this policy in any manner; however, electing to remain anonymous will limit the university's ability to collect evidence, take remedial action or otherwise fully address the alleged violation.

The University has an obligation to maintain an environment free of sex discrimination, thus many University employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in confidence may contact a physical or mental health care professional, professional counselor, or pastoral counselor (including those who act in that role under the supervision of these individuals). Except as otherwise permitted or required by law, these professionals are prohibited by confidentiality laws from reporting any information about an incident to anyone, in any way that identifies the victim, without the victim's permission. Student treatment and counseling records maintained by UTHealth Student Health & Counseling Services may be disclosed without the student's consent if the disclosure meets one of the exceptions to FERPA's general consent requirement. See HOOP 129, Educational Records.

Individuals filing a complaint under this policy with any other faculty, supervisor, administrator, university official, or Student Affairs Office may also ask that the complaint be considered confidential; however, the circumstances of the complaint will determine whether the request can be honored. Faculty, supervisors, administrators, university officials and Student Affairs Offices who receive a report of sexual misconduct are obligated to disclose the report to the Title IX Coordinator. The university may need to act to maintain campus safety, and the Title IX Coordinator may elect to move forward with resolving the complaint, regardless of the complainant's request for confidentiality, the manner in which a complaint is received, or whether a complaint is received at all. However, the complainant is strongly encouraged to file a written complaint. If the Title IX Coordinator determines that a request for confidentiality cannot be granted, the complainant will be notified.

In the course of an investigation into a report or complaint, the university may share information only as necessary with people who have a legitimate need for that information and to fulfill the purposes of this policy and comply with applicable law. To the extent possible, the university will also protect the privacy of all parties involved in a report of sexual misconduct.

Confidential counseling services are available to all university employees, residents, and other trainees through the Office of Employee Assistance Programs at (713) 500-3327. Counseling services are available to students through Student Health and Counseling Services at (713) 500-5171.

2. Participation of Advocate or Assistant

During the complaint process, a complainant or respondent may be assisted by a person of his or her choosing; however, the person assisting may not examine witnesses or otherwise actively participate in meetings, proceedings or interviews.

3. Interim Measures

The Title IX Coordinator will work with the appropriate university office in determining what immediate and effective steps can be taken to end any sexual misconduct, prevent its recurrence, protect and minimize the burden for the parties, and/or ensure equal access to educational programs and activities when students, residents or other trainees are involved. This includes taking interim steps before, during, or after any investigation or disciplinary process, while protecting the rights of the involved parties. These interim steps may include, but are not limited to, no contact orders, modifying schedules or assignments, or suspension and barring from university property when it reasonably appears to the Title IX Coordinator that the continuing presence of one or more of the involved parties poses a potential danger to persons or property or a potential threat for disrupting any activity authorized by the university.

4. Concurrent Criminal or Civil Proceedings

In complaints involving potential criminal conduct, the Title IX Coordinator shall inform the complainant of his or her option to file a criminal complaint. Police and criminal or civil justice

procedures, findings, or outcomes are not determinative of either these grievance procedures or university disciplinary procedures.

In extraordinary circumstances, law enforcement may request that the university temporarily suspend its investigation. The Title IX Coordinator will consider such a request and make a determination upon consultation with the Office of Legal Affairs. The university will nevertheless communicate with both the complainant and respondent regarding rights under this policy, procedural options, the status of the investigation, and the availability of interim measures.

B. Resolving a Complaint

Anyone who believes that he or she has been subject to sexual misconduct may immediately file a complaint. The Title IX Coordinator will conduct a preliminary assessment of the complaint to determine whether this policy applies and whether a formal investigation will commence or an informal resolution is possible. In cases where the respondent is not under the control of the university, a full investigation may not be possible. However, interim measures may still be taken to the extent possible.

1. Informal Resolution

If both the complainant and the respondent consent to informal resolution, it may be appropriate for certain complaints or reports alleging sexual harassment. The Title IX Coordinator may suggest informal resolution after review of the initial complaint. Complainants may also contact the Title IX Coordinator for assistance in resolving the complaint informally prior to filing a formal complaint. The informal resolution option is not permitted for cases involving sexual assault, dating violence, domestic violence, or stalking.

If an informal resolution is reached, it will be documented in writing by the Title IX Coordinator and signed by the complainant and the respondent.

Informal resolutions should be completed no later than 10 business days after the Title IX Coordinator receives a request for informal resolution or otherwise initiates the process. The Title IX Coordinator will notify any other appropriate university office of the resolution. The university may take action, including disciplinary measures, to ensure an environment free of sexual misconduct. If an informal resolution is not reached, the facts of the complaint as well as the failure to reach an informal resolution shall be documented by the Title IX Coordinator, who shall then initiate an investigation under the formal resolution process.

2. Formal Resolution

To initiate the formal resolution process, the complainant should submit a signed, written statement setting out the details of the conduct that is the subject of the complaint, including the complainant's name, and contact information; the name of the person directly responsible for the alleged violation; a detailed description of the conduct or event that is the basis of the alleged violation; the date(s) and location(s) of the occurrence(s); the resolution sought; the names of any witnesses to the occurrence(s); and any documents or information relevant to the complaint. Any supervisor, faculty member, administrator, university official or Student Affairs Office receiving a written or verbal complaint must immediately contact the Title IX Coordinator. If the complaint is not in writing, the Title IX Coordinator should prepare a statement of what he or she understands the complaint to be.

C. Procedures for Investigations of Alleged Sexual Misconduct

1. The Title IX Coordinator will appoint one or more individuals to handle investigations arising from a complaint related to this policy.
2. The respondent shall be provided notice of the complaint and a summary of the allegations and allowed 7 business days to respond in writing. Upon request, the complainant may obtain a summary of the respondent's written response, if any.
3. The complainant and the respondent may present any evidence believed to be relevant to the complaint.
4. Persons thought to have information relevant to the complaint will be interviewed, and these interviews will be documented. University community members have a duty to participate in these investigations. Any person who knowingly and intentionally interferes with an ongoing investigation under this policy will be subject to disciplinary action, up to and including termination or dismissal.
5. The investigation of a complaint will be concluded as soon as possible after receipt of the written complaint or other notice, unless a justification for the delay has been presented to, reviewed and approved in writing by the Title IX Coordinator.
6. Upon completion of the investigation, the appointed investigator(s) will issue a written report to the Title IX Coordinator. The report shall include a summary of the investigation and the facts discovered during the investigation.
7. The complainant and the respondent shall be informed concurrently in writing of the investigation's completion and be provided access and adequate time to review the report. If a complaint involves a student(s), the parties will receive this information as permitted by law. Each will have 7 business days from the date of receipt to submit written comments to the Title IX Coordinator.
8. Within 7 business days after the deadline for receipt of comments from the complainant and respondent, the Title IX Coordinator will review the report and will take one of the following actions based on a preponderance of the evidence: (1) require further investigation into the complaint; (2) issue a determination that the results of the completed investigation are inconclusive; or (3) issue a determination as to whether this policy was violated.

D. Disciplinary Actions

1. If the Title IX Coordinator determines that the sexual misconduct policy was violated, he or she will refer the matter to the appropriate administrator for disciplinary action in accordance with the applicable disciplinary procedures. Disciplinary actions may include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, probation, termination or dismissal.
2. Implementation of disciplinary action against employees will be handled in accordance with the applicable university policy and procedures, which may include HOOP 44, Faculty Reappointment and Non-Reappointment, HOOP 133, Faculty Termination, HOOP 153, Termination of Appointment: Administrative and Professional and/or HOOP 187, Discipline and Dismissal of Classified Employees.
3. Implementation of disciplinary action against a student will be handled in accordance with the university's student disciplinary procedures, as outlined in HOOP 186 Student Conduct and Discipline. The Title IX Coordinator will serve in place of the Dean in any student disciplinary hearing under this policy.
4. Both parties will receive equal opportunities in all aspects of the process including notices and advisor representation. Further, the standard of proof in determining the outcome will be the "preponderance of the evidence," as defined in this policy.
5. The complainant and the respondent will be provided simultaneous written notice of the result of any disciplinary proceedings (including the rationale for the decision and sanctions), applicable appeal procedures, any changes in the results and when the results become final.

E. Additional Remedies

In addition to sanctions that may be imposed pursuant to the appropriate disciplinary policy, the university may take appropriate action(s), including, but not limited, to those below:

1. Imposing sanctions against the respondent, including mandatory training attendance;
2. Ensuring the complainant and respondent do not share classes, working environments or extracurricular activities;
3. Providing comprehensive, holistic victim services including medical, counseling and academic support services(e.g., tutoring);
4. Providing the complainant extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;
5. Designating an individual specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist victims whenever needed;
6. Conducting, in conjunction with university leaders, a university climate check to assess the effectiveness of efforts to ensure that the university is free from sexual misconduct, and using that information to inform future proactive steps that the university will take;

7. Providing targeted training for a group of students if, for example, the sexual misconduct created a hostile environment in a particular program, department or clinic. Bystander intervention and sexual misconduct prevention programs may be appropriate; and/or
8. Issuing policy statements or taking other steps to communicate clearly that the university does not tolerate sexual misconduct and will respond to any incidents and to any individual who reports such incidents.

F. Retaliation

Members of the university community who retaliate in any way against an individual who has brought a request for resolution or a complaint pursuant to this policy or against an individual who has participated in an investigation of a complaint are subject to disciplinary action up to and including termination or dismissal. Reports of retaliation shall be made to and investigated by the [Office of Institutional Compliance](#). See [HOOP 108, Protection from Retaliation](#).

G. Time Limits and Exceptions

Time limits specified in this policy may be extended for good cause by the Title IX Coordinator with written notice to the complainant and respondent of the extension and the reason for the extension.

H. False Statements

Any person who recklessly or knowingly and intentionally files a false complaint under this policy or makes false statements in the course of an investigation is subject to disciplinary action up to and including termination or dismissal.

I. Dissemination of Policy and Education

This policy will be made available to all members of the university community online and in appropriate publications. All incoming employees, students, residents, other trainees, and volunteers (including faculty appointed without salary) will be provided training on this policy as well as risk reduction and bystander intervention. The university will also annually provide notices to employees, students, residents, other trainees, and volunteers (including faculty appointed without salary) regarding this policy, conduct that could constitute a violation of this policy, and information about available resources, such as support services, health services and mental health services. UTP-H will receive training on sexual misconduct policy and procedures, including their obligation to advise complainants of their option to file a complaint under these procedures, as well as to file a criminal complaint.

The Title IX and Deputy Title IX Coordinators, investigators, and any others with authority over investigations or disciplinary proceedings involving sexual misconduct shall receive training each academic year about offenses, investigatory procedures, due process, and university policies related to sexual misconduct.

IV. CONTACTS

Contact	Telephone	Email/Web Address
Eric Solberg, Title IX Coordinator Office of Academic Affairs	713-500-3062	https://www.uth.edu/academics/ https://www.uth.edu/evpara/contact.htm
Karla Crabtree, Deputy Title IX Coordinator Human Resources	713-500-3131	https://www.uth.edu/hr/
The University of Texas Police - Houston (UTP-H)	713-792-2890	http://www.mdanderson.org/utpd/utpd-police-services.html

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Section 4.2	Employee Relations	Revised:	October 2015
Policy 4.2.2	Title IX Sexual Harassment/Sexual Misconduct Policy	Responsibility:	Vice President, Academic, Faculty and Student Affairs

SEXUAL HARASSMENT/SEXUAL MISCONDUCT POLICY

**Section 1
General Policy
Statement**

1. The Institution of Texas Health Science Center (Health Science Center) is committed to maintaining a learning and working environment that is free from discrimination based on sex in accordance with Title IX of the Higher Education Amendments of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act). Sexual misconduct is a form of sex discrimination and will not be tolerated. As stated in the definition, sexual misconduct includes sexual harassment, sexual violence, sexual assault, stalking, domestic violence and/or dating violence. Individuals who engage in sexual misconduct and other inappropriate sexual conduct will be subject to disciplinary action.
2. The Health Science Center will take prompt disciplinary action against any individuals or organizations within its control who violate this Policy. The Health Science Center encourages any student, faculty, staff or visitor to promptly report allegations and/or violations of this Policy to an individual identified below in Section 3.2.

**Section 2
Applicability**

This Policy applies to all Health Science Center administrators, faculty, staff, students, trainees, and third parties within the Health Science Center's control, including visitors and applicants for employment. It applies to conduct regardless of where it occurs, including off Health Science Center property, if it potentially affects the complainant's education or employment with the Health Science Center. It also applies regardless of the gender, gender identity or sexual orientation of the complainant or the respondent. In addition, it applies whether the complaint was made by or against a third party, and whether the complaint was made verbally or in writing.

**Section 3
Filing a Complaint
and Reporting
Violations**

1. All Members of the Health Science Center Community, Third Party and Anonymous Complaints. All administrators, faculty, staff, students, and third parties are strongly encouraged to

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immediately report any incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct to the Title IX Director. or Deputy Directors.

- a. Anonymity. Individuals wishing to remain anonymous can file a complaint in any manner, including by telephone or written communication with the Title IX Director or a Deputy Director; however, electing to remain anonymous may greatly limit the Institutions ability to stop the harassment, collect evidence, or take effective action against individuals or organizations accused of violating the Policy.
 - b. Confidentiality. The Health Science Center has an obligation to maintain an environment free of sex discrimination, thus many Health Science Center employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in strict confidence may use the resources outlined in Section 3.5.
 - c. Timeliness of Complaint. Complaints should be reported as soon as possible after the complainant becomes aware of the inappropriate conduct. Delays in reporting can greatly limit the Health Science Center's ability to stop the harassment, collect evidence, and/or take effective action against individuals or organizations accused of violating the Policy.
2. Responsible Employees. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees. A Responsible Employee is an Institution employee who has the duty to report incidents of sexual misconduct to the Title IX Director or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.5.¹

Responsible Employees can find contact information for the Title IX

¹ For example, a student may make a complaint to an employee in the Dean of Students' Office, a faculty member or university police. Each of these individuals is considered a Responsible Employee and accordingly each is obligated to report the complaint to the Title IX Director or other appropriate designee.

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Director at the following website:

<http://students.uthscsa.edu/titleix/>

3. Reporting to Law Enforcement. Complaints of sexual misconduct may also be made to The University of Texas System Police,, Health Science Center (University Police) at 210-567-2800 (non-emergency) or 210-567-8911 (emergency) or 911 (emergency) or to other local law enforcement authorities.ⁱⁱ The Title IX Deputy Directors can help individuals contact these law enforcement agencies. Employees and students with protective or restraining orders relevant to a complaint are encouraged to provide a copy to the University Police.

If a complaint of sexual misconduct is reported to the University Police, it shall advise the complainant of his or her right to file a complaint under this Policy. To the extent allowed by law and University policy, the University Police shall also notify the Title IX Director of the complaint, and provide the Title IX Director or the individual investigating the complaint access to any related University law enforcement records, so long as doing so does not compromise any criminal investigation.

4. Reporting to Outside Entities. An individual wishing to make a complaint may also contact the U.S. Department of Education, Office for Civil Rights (OCR) to complain of sex discrimination or sexual misconduct including sexual violence:

Office of Civil Rights
 U.S. Department of Education
 1999 Bryan Street, Suite 1620
 Dallas, TX 75201-6810-
 Phone: (214)661-9600
 Fax: (214) 661-9587

Employees may also contact the U.S. Equal Employment

ⁱⁱ Because of the multiple site locations where Health Science Center programs are conducted, reporting to law enforcement may include the San Antonio Police Department; Bexar County Sheriff's Department; Harlingen Police Department (956-365-8900); Cameron County Sheriff's Department; Edinburgh Police Department (956-316-7151); Hidalgo County Sheriff's Department; Laredo Police Department (956-523-7414); and Webb County Sheriff's Department.

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Opportunity Commission to complain of sex discrimination or sexual harassment:

U.S. Equal Employment Opportunity Commission
 Dallas District Office
 207 S. Houston Street, 3rd Floor
 Dallas, TX 75202
 Phone: (800) 669-4000
 Fax: (214) 253-2720

5. Confidential Support and Resources. Physical and mental health care professionals and pastoral counselors (including those who act in that role under the supervision of these individuals), are generally prohibited by confidentiality laws from reporting any information about an incident to anyone, in any way that identifies the victim, without the victim's permission. Thus, students may discuss an incident with a counselor in the Student Counseling Center, a health care provider in Student Health Center, the clergyperson of the student's choice, or an off-campus resource (i.e. rape crisis center, doctor, psychologist, etc.) without concern that the incident will be reported to the Title IX Director. Employees may also seek assistance from the Employee Assistance Program, their own personal health care provider, the clergyperson of the employee's choice, or an off-campus rape crisis resource without concern that the incident will be reported to the Title IX Director. A listing of different Health Science Center and community resources that provide such services can be found through the Student Counseling Center, the Student Health Center, University Police, and the Office of Human Resources. The web links are:

[http://students.uthscsa.edu/counseling/;](http://students.uthscsa.edu/counseling/)

<http://utpolice.uthscsa.edu/divisions/crimeprev/resources.asp;>

<http://shc.uthscsa.edu/>

<https://www.uth.edu/uteap/index.htm>

6. Immunity. In an effort to encourage reporting of sexual misconduct, the Health Science Center may grant immunity from
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student disciplinary action to a person who voluntarily initiates a report of sexual misconduct or assists a complainant, if that person acts in good faith in reporting a complaint or participating in an investigation. This immunity does not extend to the person's own violations of this Policy.

**Section 4
Parties' Rights
Regarding
Confidentiality**

The Health Science Center has great respect for the privacy of the parties in a complaint. Under federal law, however, Responsible Employees who receive a report of sexual misconduct must share that information with the Title IX Director and/or a Deputy Director. Those individuals may need to act to maintain campus safety and must determine whether to investigate further under Title IX, regardless of the complainant's request for confidentiality.

In the course of the investigation, the Health Science Center may share information only as necessary with people who need to know to fulfill the purposes of this Policy and applicable law, such as investigators, witnesses, and the respondent. The Health Science Center will take all reasonable steps to ensure there is no retaliation against a complainant. The Health Science Center will comply with the Family Educational Rights and Privacy Act (FERPA), with Texas Education Code Sec. 51.971 and other confidentiality laws as they apply to Title IX investigations. To the extent possible, the Health Science Center will also protect the privacy of all parties to a report of sexual misconduct.

**Section 5
Victim Resources**

1. Immediate Assistance. A listing of different Health Science Center and community resources can be found through the Student Counseling Center, the Student Health Center, University Police, and the Office of Human Resources. The web links are:

[http://students.uthscsa.edu/counseling/;](http://students.uthscsa.edu/counseling/)

<http://utpolice.uthscsa.edu/divisions/crimeprev/resources.asp;>

<http://shc.uthscsa.edu/>

<https://www.uth.edu/uteap/index.htm>

- a. Healthcare. An individual who experiences any form of sexual,
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domestic, or dating violence is encouraged to seek immediate medical care. Also, preserving DNA evidence can be key to identifying the perpetrator in a sexual violence case. Victims can undergo a medical exam to preserve physical evidence with or without police involvement. If possible, this should be done immediately. If an immediate medical exam is not possible, individuals who have experienced a sexual assault may have a Sexual Assault Forensic Exam (SAFE) performed by a Sexual Assault Nurse Examiner (SANE) within 4 days of the incident. With the examinee's consent, the physical evidence collected during this medical exam can be used in a criminal investigation; however, a person may undergo a SAFE even without contacting, or intending to contact, the police. To undergo a SAFE, go directly to the nearest hospital that provides SAFE services.

For more information about the SAFE, see <http://hopelaws.org/> or <https://www.texasattorneygeneral.gov/victims/sapcs.shtml#survivors>. The cost of the forensic portion of the exam is covered by the law enforcement agency that is investigating the assault or, in cases where a report will not be made to the police, the Texas Department of Public Safety. This does not include fees related to medical treatment that are not a part of the SAFE.

- b. Police Assistance. The Health Science Center encourages individuals who have experienced sexual misconduct to make a report to the police. It is important to note that a police department's geographic jurisdiction depends on where the sexual misconduct occurred. If the incident occurred on the Health Science Center campus, a report may be filed with the University Police by calling 210-567-2800 or in person at 7703 Floyd Curl Dr., San Antonio, TX, even if time has passed since the assault occurred.

The University Police can also assist with filing any protective orders. Reporting an assault to law enforcement does not mean that the case will automatically go to criminal trial or to a Health Science Center disciplinary hearing. If the University

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Police are called, a uniformed officer will be sent to the scene to take a detailed statement. A ride to the hospital may be provided by a police department counselor. A report may be filed with the University Police even if the assailant was not a Health Science Center student or employee. If the incident occurred off the Health Science Center campus in San Antonio, a report may be filed with the appropriate local law enforcement agency, even if time has passed since the assault occurred. If a report is made to the police, a uniformed officer will usually be dispatched to the location to take a written report.

- c. Counseling and Other Services. A person who has experienced sexual violence is strongly encouraged to seek medical and psychological care even if he or she does not plan to request a SAFE or report the assault to the police. He or she may be prescribed medications to prevent sexually transmitted infections and/or pregnancy even if the police are not contacted or if a SAFE is not performed.

Medical care can be provided at Student Health Center (for students only), at a local emergency room, or by a private physician. Psychological support can be provided by the Student Counseling Center (students), Employee Assistance (employees), a referral through the Employee Assistance Program, or a care provider of the individual's choosing.

Students desiring counseling should contact:

Student Counseling Center
<http://students.uthscsa.edu/counseling/>
 210-567-2648

Faculty and staff should contact:

Employee Assistance Program
<https://www.uth.edu/uteap/index.htm>
 (713) 500-3327 or toll-free at (800) 346-3549

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2. Interim Measures and Ongoing Assistance.

In addition to the services provided by on- and off-campus providers, the Health Science Center will take immediate and interim measures to assure the safety and well-being of the complainant, to maintain an environment free from harassment, discrimination or retaliation, and to protect the safety and well-being of community members.

For example, if the accused is an employee, interim action may include reassignment or paid administrative leave. If the accused is a student, interim action may include suspension, no contact orders, changing living arrangements, modifying the course schedule, or modifying other aspects of the educational environment. Interim action may also include allowing the complainant to move to a new residence hall, change work schedules, alter academic schedules, and withdraw from or retake a class without penalty. Moreover, the Health Science Center may be able to provide additional accommodations for a complainant while an investigation is pending.

**Section 6
Intake Procedures
and Protocol**

1. Key Officials in an Investigation

a. Title IX Director. The Title IX Director is the senior Health Science Center administrator who oversees the Health Science Center's compliance with Title IX. The Title IX Director is responsible for leading the administrative investigation of reports of sexual misconduct and is available to discuss options, provide support, explain Health Science Center policies and procedures, and provide education on relevant issues. The Title IX Director may designate one or more Deputy Title IX Directors.

Any member of the Health Science Center community may contact the Title IX Director with questions.

b. Investigators. The Title IX Director will ensure that complaints are properly investigated under this Policy. The Title IX Director will also ensure that investigators are properly trained

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at least annually to conduct investigations that occur under this Policy.

The Title IX Deputy Directors shall supervise and advise the Title IX investigators when conducting investigations and update the Title IX Director as necessary.

2. Assessment of Complaint.

The Title IX Director or designee will conduct a preliminary assessment of the complaint and determine whether a formal resolution or an informal resolution should occur. Informal resolution may be appropriate:

- a. With a complaint solely of sexual harassment, not including sexual violence as defined in this Policy; and
- b. When both parties are categorically similar (i.e. employee/employee or student/student).

3. Notification of Health Science Center Offices Offering Assistance.

After receiving a complaint, the Title IX Director or Deputy Director shall provide the complainant with referrals to available resources and assistance.

4. Informal Resolution of Certain Sexual Harassment Complaints.

A complainant may use this option instead of or before filing a formal complaint, but is not required to do so. Also, this option is not permitted for sexual violence cases. Anyone who believes that he or she has been subject to sexual misconduct may immediately file a formal complaint as described in Section 3 of this Policy. An individual wishing to use the informal resolution process should contact the Title IX Director.

- a. Informal Assistance. In certain sexual harassment complaints, an individual may not wish to file a formal complaint. If informal assistance is deemed appropriate by the Title IX Director or designee, then the individual will be provided assistance in informally resolving the alleged sexual harassment. Assistance may include providing the complainant with strategies for communicating with the offending party that his or her behavior is unwelcomed and

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should cease, directing a Health Science Center official to inform the offending party to stop the unwelcomed conduct, or initiating mediation. However, the Health Science Center may take more formal action, including disciplinary action, to ensure an environment free of sexual harassment or sexual misconduct.

- b. Timeframe. Informal resolutions should be completed no later than 10 business days after the Title IX Director receives the request for informal resolution.
- c. Confidentiality and Documentation. The Health Science Center will document and record informal resolutions. The Title IX Director will retain the documentation. If the individual's wish to remain anonymous limits the Health Science Center's ability to establish facts and eliminate the potential harassment, the Health Science Center will attempt to find the right balance between the individual's desire for privacy and confidentiality and its responsibility to provide an environment free of sexual harassment.

5. Formal Complaint and Investigation.

Formal Complaint. To begin the investigation process, the complainant should submit a signed, written statement setting out the details of the conduct that is the subject of the complaint, including the complainant's name, signature, and contact information; the name of the person directly responsible for the alleged violation; a detailed description of the conduct or event that is the basis of the alleged violation; the date(s) and

location(s) of the occurrence(s); the names of any witnesses to the occurrence(s); the resolution sought; and any documents or information that is relevant to the complaint. The Health Science Center may initiate an investigation regardless of the manner in which a complaint is received or whether a complaint is received at all. However, the complainant is strongly encouraged to file a written complaint. If the complaint is not in writing, the investigator should prepare a statement of what he or she understands the complaint to be and ask the complainant to verify that statement. The Health Science Center office receiving the complaint should refer the complaint to the Title IX Director.

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Investigation.

- a. An investigator will be assigned to investigate the complaint.
- b. As part of the investigation process, the complainant and the respondent will be provided notice of the complaint and allowed a reasonable time to respond in writing.
- c. The complainant and the respondent may present any document or information that is believed to be relevant to the complaint.
- d. Persons thought to have information relevant to the complaint will be interviewed, and those interviews will be appropriately documented. Both the respondent and the complainant may recommend witnesses for interview and suggest questions that should be asked. Neither the complainant nor the respondent will normally attend these interviews or the gathering of evidence; however, if either one is permitted to attend, the other shall have the same right.
- e. The investigation of a complaint will be concluded as soon as possible after receipt of the written complaint. In investigations exceeding 60 days, a justification for the delay will be presented to and reviewed by the Title IX Director or his/her supervisor. The complainant, respondent, and supervisor should be provided updates on the progress of the investigation and issuance of the report.
- f. After the investigation is complete, a written reportⁱⁱⁱ will be issued to the Title IX Director and the appropriate administrator. The appropriate administrator will depend on the status of the respondent (i.e., student, faculty or employee). The report shall include factual findings and a preliminary conclusion of whether a policy violation occurred (based on a “preponderance of the evidence” standard).

ⁱⁱⁱ Appropriate report redactions will be made to comply with Texas Education Code, Section 51.971.

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- g. After the written report is completed, the complainant and respondent will be allowed to inspect the report or, at the Institution's discretion, provided letters summarizing the findings in the report in keeping with FERPA and Texas Education Code, Section 51.971. If a letter is provided, it will contain enough detail to allow the complainant and respondent to comment on the adequacy of the investigation. Each will have 7 business days from the date of receipt (as indicated on the return receipt) to submit written comments regarding the investigation to the Title IX Director.
 - h. Within 7 business days after the deadline for receipt of comments from the complainant and respondent, the Title IX Director or his or her designee will:
 - request further investigation into the complaint;
 - dismiss the complaint if it is determined that no violation of policy or inappropriate conduct occurred; or
 - find that the Policy was violated. A decision that the Policy was violated shall be based on the record.
 - i. If the Title IX Director or his or her designee determines that the Policy was violated, he or she will refer the matter for disciplinary action under the applicable disciplinary policies and procedures, which depend on the status of the respondent (i.e., student, faculty or employee).
 - j. The complainant and the respondent shall be informed concurrently in writing of the decision in accordance with Section 6.5.g of this Policy.
 - k. The appropriate administrator will impose disciplinary action or sanction(s) in accordance with the applicable policies and procedures dependent on the status of the respondent (i.e., student, faculty or employee).

6. Standard of Proof

All investigations under this Policy will use the preponderance of

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the evidence standard to determine violations of this Policy.

7. Timelines

Barring any unforeseen and reasonable delays, the Health Science Center will endeavor to resolve complaints under this Policy no later than 60 calendar days after the initial report was received by the Responsible Employee. If the investigation and resolution exceeds 60 calendar days, the Health Science Center will notify all parties in writing of the reason for the delay and the expected time frame adjustment. Best efforts will be made to complete the process in a timely manner by balancing principles of thoroughness and fundamental fairness with promptness.

At the request of law enforcement, the Health Science Center may defer its fact-gathering until after the initial stages of a criminal investigation. The Health Science Center will nevertheless communicate with the complainant regarding his/her Title IX rights, procedural options, the status of the investigation, and the implementation of interim measures to ensure his/her safety and well-being. The Health Science Center will also communicate with the respondent regarding his/her Title IX rights, procedural options and information regarding the status of the investigation. The Health Science Center will promptly resume its fact-gathering as soon as law enforcement has completed its initial investigation, or if the fact-gathering is not completed in a reasonable time.

The filing of a complaint under this Policy does not excuse the complainant from meeting time limits imposed by outside agencies. Likewise, the applicable civil or criminal statute of limitations will not affect the Health Science Center's investigation of the complaint.

8. Remedies

In addition to sanctions that may be imposed pursuant to the appropriate disciplinary policy, the Health Science Center will take appropriate action(s), including but not limited to those below to resolve complaints of sexual misconduct, prevent any recurrence and, as appropriate, remedy any effects:

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- a. Imposing sanctions against the respondent, including attending training, suspension, termination or expulsion;
 - b. Ensuring the complainant and respondent do not share classes, working environments or extracurricular activities;
 - c. Making modifications to the on campus living arrangements of the respondent or complainant (if the complainant requests to be moved);
 - d. Providing comprehensive, holistic victim services including medical, counseling and academic support services, such as tutoring;
 - e. Providing the complainant extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;
 - f. Determining whether sexual misconduct adversely affected the complainant's Institution standing;
 - g. Designating an individual specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist victims whenever needed;
 - h. Conducting, in conjunction with Institution leaders, a Health Science Center climate check to assess the effectiveness of efforts to ensure that the Health Science Center is free from sexual misconduct, and using that information to inform future proactive steps that the Health Science Center will take;
 - i. Providing targeted training for a group of students if, for example, the sexual misconduct created a hostile environment in a residence hall, fraternity or sorority, or on an athletic team. Bystander intervention and sexual misconduct prevention programs may be appropriate;
 - j. Issuing policy statements or taking other steps to clearly communicate that the Health Science Center does not tolerate sexual misconduct and will respond to any incidents and to
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any individual who reports such incidents.

These remedies are separate from, and in addition to, any interim measures that may have been provided before the end of the Health Science Center’s investigation. If the complainant did not take advantage of a specific service (e.g., counseling) when offered as an interim measure, the complainant should still be offered, and is still entitled to, appropriate final remedies that may include services the complainant declined as an interim measure. A refusal at the interim stage does not mean the refused service or set of services should not be offered as a remedy.

9. Sanctions and Discipline

Disciplinary action against faculty and employees will be handled under the Health Science Center’s policies for discipline and dismissal of faculty and employees. Disciplinary actions may include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, and dismissal. Under a School’s policy for academic and professional conduct, the Associate Dean of Student Affairs in each school will impose disciplinary action, if any, against a student under the Health Science Center’s student disciplinary procedures, as appropriate and consistent with the School’s policies and protocols. A School Dean may delegate to another School official this responsibility. Student disciplinary actions may include, but are not limited to,

probation, suspension, or expulsion.

For students, if the finding of the report from the Title IX Director falls outside of the academic and professional conduct standards of a school, the Office of the Vice President, Academic, Faculty and Student Affairs will impose disciplinary action. Student policies may be found at: <http://catalog.uthscsa.edu/>

In accordance with federal law, when disciplinary action is commenced because of a violation of this Policy, the above policies will provide both parties equal opportunities in all aspects of the process including notices and advisor representation. Further, the standard of proof in determining the outcome will be the “preponderance of the evidence,” as defined in this policy.

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**Section 7
Provisions
Applicable to the
Investigation**

1. Assistance. During the investigation process, a complainant or respondent may be assisted by an advisor, who may be an attorney; however, the advisor may not actively participate in a meeting or interview.
2. Time Limitations. Time limitations in these procedures may be modified by the Title IX Director or appropriate administrator on a written showing of good cause by the complainant, respondent, or the Health Science Center.
3. Concurrent Criminal or Civil Proceedings. The Health Science Center will not wait for the outcome of a concurrent criminal or civil justice proceeding to take action. The Health Science Center has an independent duty to investigate complaints of sexual misconduct. (Except as provided in Sec. 6.7).
4. Documentation. The Health Science Center shall document complaints and their resolution and retain copies of all materials in accordance with state and federal records laws and Health Science Center policy.

**Section 8
Dissemination of
Policy and
Educational
Programs**

1. This Policy will be made available to all Health Science Center administrators, faculty, staff, and students online at <http://students.uthscsa.edu/titleix/> and in Health Science Center publications. Periodic notices will be sent to Health Science Center administrators, faculty, staff and students about the Health Science Center’s Sexual Harassment/Sexual Misconduct Policy. The notice will include information about sexual misconduct, including the complaint procedure, and about Health Science Center disciplinary policies and available resources, such as support services, health, and mental health services. The notice will specify the right to file a complaint under this Policy and with law enforcement and will refer individuals to designated offices or officials for additional information.
2. Ongoing Sexual Misconduct Training. The Health Science Center’s commitment to raising awareness of the dangers of

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sexual misconduct includes offering ongoing education through annual training and lectures by faculty, staff, mental health professionals, and/or trained Health Science Center personnel. The Health Science Center will periodically educate and train employees and supervisors regarding the Policy and conduct that could constitute a violation of the Policy. Preventive education and training programs will be provided to Health Science Center administrators, faculty, staff, and students and will include information about risk reduction, including bystander intervention. Training on sexual harassment and sexual violence policy and procedures will be provided to law enforcement personnel, including training on their obligation to advise Health Science Center administrators, faculty, staff, and students of their rights to file a complaint under this Policy and their right to file a criminal complaint.

3. Training of Coordinators, Investigators, Hearing and Appellate Authorities. All Title IX Directors, Deputy Directors, investigators, and those with authority over sexual misconduct hearings and appeals shall receive training annually about offenses, investigatory procedures, due process, and Health Science Center policies related to sexual misconduct.

**Section 9
Additional
Conduct
Violations**

1. Retaliation. Any administrator, faculty member, student or employee who knowingly and intentionally retaliates in any way against an individual who has brought a complaint under this Policy, participated in an investigation or disciplinary process of such a complaint, or opposed any unlawful practice, is subject to disciplinary action up to and including dismissal or separation from the Health Science Center.
2. False Complaints. Any person who knowingly and intentionally files a false complaint under this Policy is subject to disciplinary action up to and including dismissal or separation from the Health Science Center. A finding of non-responsibility does not indicate a report was false.
3. Interference with an Investigation. Any person who knowingly and intentionally interferes with an ongoing investigation conducted under this Policy is subject to disciplinary action up to and including dismissal or separation from the Health Science Center.

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Interference with an ongoing investigation may include, but is not limited to:

- a. Attempting to coerce, compel, or prevent an individual from providing testimony or relevant information;
 - b. Removing, destroying, or altering documentation relevant to the investigation; or
 - c. Providing false or misleading information to the investigator, or encouraging others to do so.
4. No Effect on Pending Personnel or Academic Actions Unrelated to the Complaint. The filing of a complaint under this Policy will not stop or delay any action unrelated to the complaint, including:
- a. any evaluation or disciplinary action relating to a complainant who is not performing up to acceptable standards or who has violated Health Science Center rules or policies;
 - b. any evaluation or grading of students participating in a class, or the ability of a student to add/drop a class, change academic programs, or receive financial reimbursement for a class; or
 - c. any job-related functions of a Health Science Center employee. Nothing in this section shall limit the Health Science Center's ability to take interim action.

**Section 10
Documentation**

The Health Science Center shall confidentially maintain information related to complaints under this Policy, as required by law. The Title IX Director will document each complaint or request for assistance under this Policy, whether made by a victim, a third party, or anonymously, and will review and retain copies of all reports generated as a result of investigations. These records will be kept confidential to the extent permitted by law. Any person who knowingly and intentionally makes an unauthorized disclosure of confidential information contained in a complaint or otherwise related to the investigation of a complaint under this Policy is subject to disciplinary action.

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**Section 11:
Annual Reporting
and Notice**

The Health Science Center’s Title IX General Policy Statement will be made available to all students, faculty, and employees online, in required publications and in specified departments. On an annual basis, and upon any updates to this Policy, the Health Science Center will send notice of its compliance with Title IX as required by law. The annual notice shall designate the Title IX Director and Deputy Directors, explain which offenses are prohibited and where to report violations of this Policy, provide information regarding victim resources, and provide a link to this Policy and other related Health Science Center websites.

**Definitions and
Examples**

CONSENT: A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

Consent is not effective if it results from:

- the use of physical force,
- a threat of physical force,
- intimidation,
- coercion,
- incapacitation or
- any other factor that would eliminate an individual’s ability to exercise his or her own free will to choose whether or not to have sexual activity.

A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that

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clearly indicates a willingness to engage in each instance of sexual activity.

The definition of consent for the crime of sexual assault in Texas can be found in Section 22.011(b) of the Texas Penal Code.^{iv}

DATING VIOLENCE^v: Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.

The existence of such a relationship shall be determined by the victim with consideration of the following factors:

- The length of the relationship;
- The type of relationship; and
- The frequency of interaction between the persons involved in the

^{iv} Texas Penal Code, Section 22.011(b) states that a sexual assault is without consent if: (1) the actor compels the other person to submit or participate by the use of physical force or violence; (2) the actor compels the other person to submit or participate by threatening to use force or violence against the other person, and the other person believes that the actor has the present ability to execute the threat; (3) the other person has not consented and the actor knows the other person is unconscious or physically unable to resist; (4) the actor knows that as a result of mental disease or defect the other person is at the time of the sexual assault incapable either of appraising the nature of the act or of resisting it; (5) the other person has not consented and the actor knows the other person is unaware that the sexual assault is occurring; (6) the actor has intentionally impaired the other person's power to appraise or control the other person's conduct by administering any substance without the other person's knowledge; (7) the actor compels the other person to submit or participate by threatening to use force or violence against any person, and the other person believes that the actor has the ability to execute the threat.

^v Dating Violence is defined by the Texas Family Code, Section 71.0021 as:

- (a) an act, other than a defensive measure to protect oneself, by an actor that:
- (1) is committed against a victim:
 - (A) with whom the actor has or has had a dating relationship; or
 - (B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and
 - (2) is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or sexual assault.
 - (b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:
 - (1) the length of the relationship;
 - (2) the nature of the relationship; and
 - (3) the frequency and type of interaction between the persons involved in the relationship.
 - (c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b).

Texas Penal Code, Section 22.01 provides the criminal penalties associated with Dating Violence.

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relationship

Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include acts covered under the definition of domestic violence.

DOMESTIC (FAMILY) VIOLENCE^{vi}: includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated

to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of the state of Texas.

HOSTILE ENVIRONMENT: exists when sex-based harassment is sufficiently severe or pervasive to deny or limit the individual’s ability to participate in or benefit from the Health Science Center’s programs or activities or an employee’s terms and conditions of employment. A hostile environment can be created by anyone involved in a Health Science Center’s program or activity (e.g., administrators, faculty members, employees, students, and Health Science Center visitors).

In determining whether sex-based harassment has created a hostile environment, the Health Science Center considers the conduct in question from both a subjective and objective perspective. It will be necessary, but not adequate, that the conduct was unwelcome to the individual who was harassed. To conclude that conduct created or contributed to a hostile environment, the Health Science Center must also find that a reasonable person in the individual’s position would have perceived the conduct as undesirable or offensive.

^{vi} Family Violence is defined by the Texas Family Code Section 71.004 as:

- (1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or sexual assault, but does not include defensive measures to protect oneself;
- (2) abuse, as that term is defined by Sections [261.001](#)(1)(C), (E), and (G), by a member of a family or household toward a child of the family or household; or
- (3) dating violence, as that term is defined by Section [71.0021](#).

Texas Penal Code Section 22.01 provides the criminal penalties associated with Domestic (Family) Violence.

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To ultimately determine whether a hostile environment exists for an individual or individuals, the Health Science Center considers a variety of factors related to the severity, persistence, or pervasiveness of the sex-based harassment, including:

- the type, frequency, and duration of the conduct;
- the identity and relationships of the persons involved;
- the number of individuals involved;
- the location of the conduct and the context in which it occurred; and
- the degree to which the conduct affected an individual's education or employment.

The more severe the sex-based harassment, the less need there is to show a repetitive series of incidents to find a hostile environment. Indeed, a single instance of sexual assault may be sufficient to create a hostile environment. Likewise, a series of incidents may be sufficient even if the sex-based harassment is not particularly severe.

First Amendment Considerations: this Policy does not impair the exercise of rights protected under the First Amendment. The Health Science Center's sexual misconduct policy prohibits only sex-based harassment that creates a hostile environment. In this and other ways, the Health Science Center applies and enforces this Policy in a manner that respects the First Amendment rights of students, faculty, and others.

INCAPACITATION: A state of being that prevents an individual from having the capacity to give consent. For example, incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability.

INTIMIDATION: Unlawfully placing another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct,

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but without displaying a weapon or subjecting the victim to actual physical attack.

OTHER INAPPROPRIATE SEXUAL CONDUCT: Includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature directed towards another individual that does not rise to the level of sexual harassment but is unprofessional, inappropriate for the workplace or classroom and is not protected speech. It also includes consensual sexual conduct that is unprofessional and inappropriate for the workplace or classroom.

PREPONDERANCE OF THE EVIDENCE: The greater weight of the credible evidence. Preponderance of the evidence is the standard for determining allegations of sexual misconduct under this Policy. This standard is satisfied if the action is deemed more likely to have occurred than not.

RESPONSIBLE EMPLOYEE: A Health Science Center employee who has the duty to report incidents of sexual misconduct to the Title IX

Director or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.5. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees.

RETALIATION: Any adverse action threatened or taken against someone *because* the individual has filed, supported, provided information in connection with a complaint of sexual misconduct or engaged in other legally protected activities. Retaliation includes, but is not limited to, intimidation, threats or harassment against any complainant, witness or third party.

SEXUAL ASSAULT^{vii}: An offense that meets the definition of rape, fondling, incest, or statutory rape:

^{vii} Sexual Assault is defined by Texas Penal Code, Section 22.011 as intentionally or knowingly:

a) Causing the penetration of the anus or sexual organ of another person by any means, without that person's consent; or

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- *Rape:* the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
 - *Fondling:* The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.
 - *Incest:* Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
 - *Statutory Rape:* Sexual intercourse with a person who is under the statutory age of consent.

SEXUAL EXPLOITATION: Occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit, or to benefit anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material by email, text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity, letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.

SEXUAL HARASSMENT: Unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when submission to such conduct is made either explicitly or implicitly a term or condition of a person's student status, employment, or participation in Health Science Center activities; such conduct is sufficiently severe or pervasive that it interferes with an individual's

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- b) Causing the penetration of the mouth of another person by the sexual organ of the actor, without that person's consent; or
 - c) Causing the sexual organ of another person, without that person's consent, to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor.

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education, employment, or participation in Health Science Center activities, or creates an objectively hostile environment; or such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's education, employment, or participation in Health Science Center activities, or creating an intimidating, hostile, or offensive environment. Sexual harassment is a form of sex discrimination that includes:

- Sexual violence, sexual assault, stalking, domestic violence and dating violence as defined herein.
- Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - ❖ unwelcome intentional touching; or
 - ❖ deliberate physical interference with or restriction of movement.
- Verbal conduct not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic idea, including oral, written, or symbolic expression, including but not limited to:
 - ❖ explicit or implicit propositions to engage in sexual activity;
 - ❖ gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;
 - ❖ gratuitous remarks about sexual activities or speculation about sexual experiences;
 - ❖ persistent, unwanted sexual or romantic attention;
 - ❖ subtle or overt pressure for sexual favors;
 - ❖ exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars or other materials; or

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Policy 4.2.2	Title IX Sexual Harassment/Sexual Misconduct Policy	Responsibility:	Vice President, Academic, Faculty and Student Affairs

❖ deliberate, repeated humiliation or intimidation based upon sex.

SEXUAL MISCONDUCT: A broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual assault, sexual exploitation, sexual intimidation, sexual harassment, domestic violence, dating violence, and stalking. Sexual misconduct can be committed by men or women, strangers or acquaintances, and can occur between or among people of the same or opposite sex.

SEXUAL VIOLENCE: Physical sexual acts perpetrated against a person’s will or where a person is incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

STALKING^{viii}: Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition—

- *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through

^{viii} Stalking as defined by Texas Penal Code, Section 42.072 is when an individual on more than one occasion and pursuant to the same scheme or course of conduct that is directed specifically at another person, knowingly engages in conduct that:

- a) is considered harassment, or that the actor knows or reasonably should know the other person will regard as threatening:
 - i. bodily injury or death for the other person;
 - ii. bodily injury or death for a member of the other person's family or household or for an individual with whom the other person has a dating relationship; or
 - iii. that an offense will be committed against the other person's property;
- b) causes the other person, a member of the other person's family or household, or an individual with whom the other person has a dating relationship to be placed in fear of bodily injury or death or in fear that an offense will be committed against the other person's property, or to feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended; and
- c) would cause a reasonable person to:
 - i. fear bodily injury or death for himself or herself;
 - ii. fear bodily injury or death for a member of the person's family or household or for an individual with whom the person has a dating relationship;
 - iii. fear that an offense will be committed against the person's property; or
 - iv. feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended.

HEALTH SCIENCE CENTER HANDBOOK OF OPERATING PROCEDURES

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third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person’s property.

- *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
- *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

Relevant Federal and State Statutes and Standards

[Title IX of the Education Amendments of 1972, 20 U.S.C. §§ 1681–1688 and its implementing regulations, 34 C.F.R. Part 106](#)

[Title VII of the Civil Rights Act of 1964, 42 U.S.C. §§2000e–2000e-17 and its implementing regulations 29 C.F.R. §1604 11](#)

[Clery Act, 20 U.S.C 1092\(f\) and its implementing regulations 34 C.F.R. Part 668](#)

[FERPA Regulations, 34 C.F.R. Part 99](#)

Other Relevant Policies, Procedures, and Forms

[Regents’ Rules and Regulations, Rule 30105, Sexual Harassment, Sexual Misconduct, and Consensual Relationships](#)

[University of Texas System Administration Systemwide Policy \(UTS 184\), Consensual Relationships](#)

[Regents’ Rules and Regulations, Rule 31008, Termination of a Faculty Member](#)

System Administration Office Responsible for Policy

Office of General Counsel
ogc_intake@utsystem.edu

HEALTH SCIENCE CENTER HANDBOOK OF OPERATING PROCEDURES

Chapter 4	General Personnel Policies	Effective:	November 2000
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Dates Approved or Amended

System Policy: April 6, 2015; February 21, 2012
 Health Science Center Policy: June 2015; November 2000

Contact Information

Office of the Vice President, Academic, Faculty and Student Affairs
 210-567-2004

Office of Human Resources
 210-567-2600



SEXUAL HARASSMENT AND SEXUAL MISCONDUCT PREVENTION POLICY

PURPOSE

The purpose of this policy is to:

- Inform persons covered by this policy that The University of Texas MD Anderson Cancer Center (MD Anderson) will not tolerate Sexual Misconduct in the workplace and learning environment,
- To identify resources available to those subjected to Sexual Misconduct, and
- To outline options for addressing concerns about Sexual Misconduct.

Note: Sexual Harassment is a form of Sexual Misconduct.

POLICY STATEMENT

In accordance with Title VII of the Civil Rights Act of 1964, as amended, and Title IX of the Education Amendments of 1972, MD Anderson is committed to the principle that the working environment of the institution should be free from inappropriate conduct of a sexual nature. Sexual Misconduct and Sexual Harassment are unprofessional behaviors and Workforce Members and Students who engage in such behavior are subject to disciplinary action, including termination. MD Anderson will act to stop such behavior in the employment or educational environment even if the incident involves non-employees, such as visitors.

SCOPE

This policy applies to all full-time and part-time Workforce Members and Students, and applies to conduct regardless of where it occurs, including off MD Anderson property if it potentially affects an individual's employment, educational environment, or opportunities at MD Anderson.

The policy applies regardless of gender, sexual orientation or gender identity or expression, and to individuals affected directly or as a third-party. It also applies to incidents involving parties of the same sex. Applicants may file a complaint under this policy.

Compliance with this policy is the responsibility of all Workforce Members and Students.

TARGET AUDIENCE

The target audience for this policy includes, but is not limited to, all Workforce Members and Students.

DEFINITIONS

EEO and HR Regulations: The department responsible for investigating allegations of discrimination, harassment and Retaliation. EEO and HR Regulations can be reached at 5-myHR or 713-745-6947.

Complainant: A party, including possibly MD Anderson, who makes a complaint of Sexual Harassment or Sexual Misconduct under section 3.0 of this policy.

Other Inappropriate Sexual Conduct: Includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature directed towards another individual that does not rise to the level of Sexual Harassment but is unprofessional, inappropriate for the employment or educational environment and is not protected speech. It also includes consensual sexual conduct that is unprofessional in the employment and educational environment.

Respondent: A party who has been accused of committing an act of Sexual Harassment or Sexual Misconduct by a Complainant.

Retaliation: Any adverse action threatened or taken against someone because the individual has filed, supported, provided information in connection with a complaint of Sexual Misconduct or engaged in other legally protected activities. Retaliation includes, but is not limited to intimidation, threats or harassment against any Complainant, witness, or third party.

Sexual Harassment: Sexual Harassment includes:

Unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, and/or other verbal or physical conduct of a sexual nature when:

- A. Submission to such conduct is made either explicitly or implicitly as a term or condition of an individual's employment or appointment or for participation in any other academic or employment-related activity;
- B. Submission to or rejection of such conduct by an individual is used as the basis for employment or appointment decisions affecting such individual;
- C. Such conduct is sufficiently severe or pervasive that it denies or limits an individual's education, employment, or participation in MD Anderson activities, or creates a reasonably objective hostile environment. To determine whether a hostile environment exists, MD Anderson considers a variety of factors related to the severity or pervasiveness of the sex-based harassment, including: (1) the type, frequency, and duration of the conduct; (2) the identity and relationships of persons involved; (3) the number of individuals involved; (4) the location of the conduct and the context in which it occurred; and, (5) the degree to which the conduct affected one or more individual's education or employment. Sexual harassment is a form of sex discrimination that includes the following examples:
 - Sexual violence, sexual assault, stalking, domestic violence and dating violence. Specific definitions of these terms are contained in Attachment A.
 - Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - Unwelcome intentional touching; or
 - Deliberate physical interference with or restriction of movement
 - Verbal conduct not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic ideas, including oral, written, or symbolic expression, including but not limited to:
 - Explicit or implicit propositions to engage in sexual activity

- Gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies
- Gratuitous remarks about sexual activities or speculation about sexual experiences
- Persistent unwelcome sexual or romantic attention
- Subtle or overt pressure for sexual favors
- Gratuitous use of sexually-oriented materials not directly related to the subject matter of a class or meeting even if not objected to by those present; or
- Deliberate, repeated humiliation or intimidation based upon sex.

Sexual Misconduct: A broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The terms includes, but is not limited to, sexual assault, sexual exploitation, sexual intimidation, Sexual Harassment, domestic violence, dating violence, and stalking. See [Supplemental Definitions](#) for specific definitions of these terms.

Title IX Coordinator: MD Anderson's designated Title IX Coordinator has primary responsibility for coordinating MD Anderson's efforts to comply with and carry out its responsibilities under Title IX, which prohibits sex discrimination in all of its operations.

Sheri Wakefield, Title IX Coordinator

Director of EEO & HR Regulations

Mid Campus Building 1 (1MC6.2278)

7007 Bertner, Unit 1612

Houston, TX 77030

Phone: (713) 745-6174 office

Email: sbrownlo@mdanderson.org

Student: An individual who is enrolled in or admitted to MD Anderson School of Health Professions. This also includes individuals who have submitted an application for admission.

Trainee: An individual holding an educational appointment through Academic & VISA Administration regardless of compensation status or benefits eligibility.

Workforce Member: Faculty, administrative/classified employees, volunteers, Trainees, Students, contractors, and other persons whose conduct, in the performance of work for or academic studies at MD Anderson, is under the direct control of MD Anderson, whether or not they are paid by MD Anderson.

Note: For purposes of this policy, Students are referred to separately even though they are included within the definition of Workforce Member.

PROCEDURE

1.0 Overview

- 1.1 As outlined in detail below, there are many resources and options available to support Workforce Members and Students impacted by a violation of this policy to address their concerns. Such individuals may contact local law enforcement agencies or The University of Texas Police Department (UTP-H). Additionally, Workforce Members and Students may utilize

local crises intervention or counseling services, or MD Anderson's Employee Assistance Program. If an individual wishes, he or she may also file a Complaint with MD Anderson that will be appropriately investigated. If there is a finding that the policy was violated, appropriate action will be taken.

- 1.2 In deciding what options to use, the Workforce Members and Students should consider the degree of confidentiality that can be maintained with each option. As discussed below, confidentiality can be strictly maintained under some options while under others there is an obligation to report possible violations of this policy. Insistence on anonymity may limit MD Anderson's ability to respond fully to the incident.
- 1.3 Workforce Members and Students should also be aware that MD Anderson can take appropriate interim safety measures to protect a Workforce Member or Student. Finally, Workforce Members and Students who raise concerns about Sexual Harassment or Sexual Misconduct may not be retaliated against. A Workforce Member or Student who retaliates in any way against an individual for filing a complaint or participating in an investigation or adjudication is subject to discipline.
- 1.4 If you have any questions or you would like to discuss Title IX or this policy, you may contact the Title IX Coordinator or EEO and HR Regulations.

2.0 Crisis and Support Services

- 2.1 Victims of sexual violence and anyone who is concerned about his or her personal safety should immediately call 911 for local police assistance or 2-STOP (713-792-7868) for UTP-H.

Bastrop and Smithville campus employees may contact the Bastrop County Criminal District Attorney or Victim Assistance Coordinator at 804 Pecan Street, in Bastrop. Business hours are 8:00 am to 5:00 pm, M-F. They can be reached at 512-581-7125.

- 2.2 Additional community resources available for men and women are:
 - A. Houston Area Women's Center - Services for survivors of domestic and sexual violence, and their non-offending family and friends. Services include 24 hour hotlines, counseling, and urgent referrals to shelters.
 - Domestic violence hotline: 713-528-2121.
 - Sexual assault hotline: 713-528-7273.
 - Web site: <http://www.hawc.org>.
 - B. Crisis Intervention of Houston - Confidential and anonymous services for any crisis event. Services include 24 hour crisis hotlines:
 - Crisis hotline: 713-HOTLINE
 - Spanish hotline: 713-526-8088
 - Teen hotline: 713-529-TEEN
 - Web site: <http://www.crisishotline.org>.
 - C. Bastrop Family Crisis Center - Services to individuals who have been impacted by domestic and sexual violence, including a 24 hour hotline. They also arrange referrals to a local shelter.

- 24 hour hotline: 888-311-7755, or 512-303-7755.
- Daytime number: 512-321-7760.
- Web site: <http://www.family-crisis-center.org/>.

- 2.3 An individual who is eligible for services may contact the following MD Anderson resources to obtain guidance, support, and resources. If requested, assistance in resolving Sexual Harassment and Sexual Misconduct informally, such as strategies to effectively inform an individual to stop the offending behavior or action by an appropriate MD Anderson official to stop the unwelcomed conduct, may also be provided. These offices will not reveal any personal identifying information about an incident to the Title IX Coordinator or EEO and HR Regulations unless permission is granted.

Employee Assistance Program (EAP) – The EAP provides confidential services for employees, Trainees, and Students. Immediate help and referral information is also available to victims of abuse and to individuals who have been abusive towards others. The EAP can be reached by telephone at 713-745-6901.

Bastrop and Smithville campus employees may also access EAP services by calling the Houston office at 713-745-6901, or 877-259-9876, during business hours, 7:30 a.m.–4:30 p.m. M-F.

Faculty Assistance Program - Faculty may also contact an external provider for help with any personal and work-related stresses.

- 2.4 An individual who experiences any form of sexual violence is encouraged to seek immediate medical care and to preserve DNA evidence that can be key to identifying the violator. A medical exam to preserve physical evidence can be conducted with or without police and should be done immediately whenever possible.
- 2.5 Services offered under subsections 1.2 and 1.3 may be used prior to filing a formal complaint or as an alternative. While use of these services is encouraged, it is not required. A formal complaint under section 3 may be filed immediately.

3.0 Anonymity and Confidentiality

- 3.1 When considering reporting options, individuals subjected to Sexual Harassment should be aware that certain personnel can maintain strict confidentiality. Others may disclose non-personally identifying information. While others, such as those identified in subsection 4.1(A), have a mandatory reporting and response obligation.
- 3.2 When filing a complaint, a Complainant may request confidentiality. In considering whether to grant such a request, the Title IX Coordinator will balance a Complainant's request for confidentiality with the responsibility of providing a safe and non-discriminatory environment for the MD Anderson community.
- 3.3 Insistence on confidentiality may limit MD Anderson's ability to respond fully to the incident, including pursuing disciplinary action against the accused individual. Where action cannot be taken directly against a Respondent because of a Complainant's insistence of confidentiality, MD Anderson will pursue other steps to limit the effects of the alleged Sexual Harassment and Sexual Misconduct and attempt to prevent its recurrence.
- 3.4 Regardless if a request for confidentiality is granted or not, MD Anderson will protect the confidentiality of a Complainant by refusing to disclose his or her information to anyone outside of MD Anderson to the maximum extent permitted by law and only sharing necessary information with MD Anderson personnel on a need-to-know basis.

- 3.5 If UTP-H or the 2-Stop Team determines that the accused individual poses a serious and immediate threat to others, a timely warning may be issued. Any such warning would not include any information that identifies the victim.
- 3.6 An individual who initially requests confidentiality may later decide to file a complaint under Section 4.0 of this policy or report the incident to local law enforcement to have the incident fully investigated.

4.0 Report Incident and Filing a Complaint

- 4.1 Persons covered by this policy who believe they have been subjected to Sexual Harassment or Sexual Misconduct, may file a complaint or report as provided below. Reports should be made as soon as possible after the alleged conduct occurs as a delay may impede the ability to collect evidence, conduct an investigation and/or to take appropriate remedial actions.

- A. MD Anderson Workforce Members and Students should report the incident to EEO and HR Regulations or the Title IX Coordinator.

Complaints may also be reported to the following responsible employees:

- For employees, his or her manager, supervisor, Department Chair, any management personnel or their assigned Human Resources Consultant in the Generalist Organization (HRGO).
- For Trainees, their academic program director or the Office of the Associate Vice President for Academic and VISA Administration (AVP/AVA).
- For Students, the Dean of the SHP, Program Directors, the Senior Health Educator, or SHP faculty.

If the person to whom harassment normally would be reported is the individual accused, reports may be made to another manager, academic program director, or responsible employee. Complaints against a Title IX Coordinator or an employee of EEO and HR Regulations may be filed with the Vice President and Chief Compliance Officer, Phone: 713-745-6636.

- B. Cases of sexual violence may be reported by:

- Calling from an MD Anderson telephone - 2-2890 (UTP-H non-emergency) or 911 (UTP-H emergency); or
- Calling from an external telephone – 713-792-2890 (UTP-H non-emergency); 713-884-3131 (City of Houston non-emergency), or 911 (City of Houston emergency); or
- Calling other local law enforcement authorities.

If requested, EEO and HR Regulations can assist individuals with contacting these law enforcement agencies. Workforce Members and Students with protective orders relevant to a complaint are encouraged to provide a copy to UTP-H. A Workforce Member or Student may elect to not file a criminal complaint.

- C. Inquiries or complaints that involve potential violations of Title IX may also be submitted to the U.S. Department of Education's Office for Civil Rights, located at 1999 Bryan St., Suite 1510, Dallas, TX 75201-3136 and can be reached by phone at 404-974-9450 or fax (214-661-9594). Inquiries or complaints that involve potential violations of Title VII may also be submitted to the U.S. Equal Employment Opportunity Commission District

Office located at Total Plaza, 1201 Louisiana St., 6th Floor, Houston, Texas 77002,
Phone: 1-800-669-4000, Fax: 713-651-4987.

- 4.2 Before a Complainant reveals information that he or she may wish to keep confidential, the responsible employees designated in subsection 4.1(A) should make every effort to ensure that the Complainant understands: (i) the responsible employee's obligation to report the names of the Respondent and Complainant, as well as relevant facts regarding the alleged incident (including the date, time, and location) to the HRGO or EEO and HR Regulations, (ii) the Complainant's option to request confidentiality, which the Title IX Coordinator will determine, (iii) the Complainant's ability to share the information confidentially with counseling, advocacy, health, mental health, or sexual-assault-related services, and (iv) the right to file a complaint with MD Anderson and to report a crime to UTP-H or local law enforcement.
- 4.3 The individuals designated in subsection 4.1(A) must notify the HRGO or EEO and HR Regulations of any reported Sexual Harassment or Sexual Misconduct as soon as they become aware of the alleged incident.
- 4.4 Any MD Anderson official responsible for reporting or responding to Sexual Harassment complaints who knew or reasonably should know of possible Sexual Harassment (including from social networking sites) and took no action to stop it or failed to report the prohibited act may be subject to disciplinary action.
- 4.5 Any Workforce Member or Student who receives information regarding a possible violation of this policy should report the information to individuals identified in subsection 3.1(a) as soon as possible.
- 4.6 An EEO representative will contact the Complainant as soon as reasonably possible, but no later than five (5) calendar days, to acknowledge receipt of the complaint and to schedule an intake meeting to discuss the details of the alleged sexual incident.
- 4.7 Throughout the Complaint and investigation process, a Complainant or Respondent may be accompanied by an individual providing support to the extent permitted by [Family Education Rights and Privacy Act \(FERPA\)](#). The supporter may not actively participate in a meeting or interview.
- 4.8 The complaint is supported by a written statement containing information provided by the person making the complaint. Information documented usually includes: the name of the person making the complaint, the nature of the complaint, the name of Respondent, date(s) of the alleged incident(s), and names of any witnesses or persons having knowledge about the complaint.
- 4.9 While an investigation may begin on the basis of an oral complaint, the Complainant is strongly encouraged to file a written complaint. In this situation, EEO and HR Regulations will prepare a statement of what he or she understands the complaint to be and seek to obtain verification of the complaint from the Complainant.
- 4.10 EEO and HR Regulations will provide a copy of this policy, the [Clery Act Policy on Reporting Criminal Activity \(UTMDACC Institutional Policy # ADM1104\)](#), and the [AVA-Trainee Disciplinary Actions and Appeals Policy \(UTMDACC Institutional Policy # ACA0068\)](#) to the Complainant, discuss the contents and the procedures involved in conducting an investigation of the alleged sexual incident, including confidentiality and anti-retaliation provisions, and identify additional resources available to the Complainant.
- 4.11 EEO and HR Regulations will facilitate the arrangement of any interim safety measures as appropriate, pending the outcome of the complaint and investigation. These measures may include changing work or class locations, rescheduling an assignment or test, altering

academic schedules, withdrawing from or retake a class without penalty, issuing a no contact directive, increased supervision or monitoring, security escorts, and free counseling services.

- 4.12 In cases involving potential Sexual Violence or criminal conduct, EEO and HR Regulations shall determine, in consultation with UTP-H, if criminal authorities need to be notified and will advise the Complainant of his or her rights regarding filing a criminal complaint. EEO and HR Regulations shall consult with UTP-H and law enforcement regarding the applicability and issuance of orders of protection, "no contact" orders, restraining orders, or similar lawful orders.
- 4.13 Upon request of law enforcement, the commencement of an investigation may be delayed temporarily until after the initial stages of criminal investigation. Police and criminal or civil justice procedures, findings, or outcomes are not determinative of either these complaint procedures or institutional disciplinary procedures. Additionally, MD Anderson will not wait for criminal or civil justice outcomes to take appropriate action.
- 4.14 UTP-H Responsibilities:
 - A. In cases where an incident of a sexual nature is reported to UTP-H, the police will advise the alleged victim of his or her right to file a complaint under this policy.
 - B. UTP-H will provide EEO officials investigating Complaints under this policy access to any related law enforcement records as permitted by state and federal law to the extent such access does not compromise any criminal investigation.
 - C. (c) To the extent possible, EEO and HR Regulations should coordinate with any other ongoing or criminal investigations of the incident and establish appropriate fact-finding roles for each investigator.

5.0 Investigation, Determination and Appeals of Complaints

- 5.1 EEO and HR Regulations investigate the complaint of alleged Sexual Harassment or Sexual Misconduct following a determination that an investigation is warranted.
- 5.2 All Workforce Members and Students are expected to cooperate in investigations of alleged Sexual Harassment or Sexual Misconduct. Any person who knowingly makes false statements or inappropriately discloses confidential information during an investigation will be subject to disciplinary action, up to and including termination.
- 5.3 The Complainant and Respondent may present any document, witness or information that is believed to be relevant to the Complaint.
- 5.4 The investigation of a Complaint will be concluded as soon as possible after receipt of the written complaint. The Complainant and necessary parties will be provided updates on the progress of an investigation exceeding thirty (30) days. Anticipated resolution of a Complaint is not more than sixty (60) days.
- 5.5 The detailed procedure for investigating, determining, and appealing a Complaint is contained in the [Sexual Harassment / Sexual Misconduct Complaint Resolution Procedures](#). The parties will be provided an opportunity to comment on the proposed findings and actions, if any.
- 5.6 Upon completion of the [Sexual Harassment / Sexual Misconduct Complaint Resolution Procedures](#), the Complainant and Respondent will be informed in writing of the resolution of the Complaint, and any applicable disciplinary or remedial measures as allowed by law, including, but not limited to, the FERPA.

6.0 Remedial Measures and Disciplinary Actions

- 6.1 Depending on the specific nature of the situation, remedies for a Complainant may include, but are not limited to:
- A. Providing an effective escort to ensure that the Complainant can move safely between workplaces, classes and activities;
 - B. Ensuring the Complainant and accused individual are not in the same work area or classroom;
 - C. Providing comprehensive, holistic victim services including medical, counseling and academic support services;
 - D. Arranging for the Complainant to have extra time to complete a work project or class assignment without any adverse consequences; and
 - E. Reviewing any disciplinary actions taken against the Complainant to see if there is a causal connection between the Sexual Harassment and the misconduct that may have resulted in the Complainant being disciplined.
- 6.2 Remedies for the MD Anderson community may include, but are not limited to:
- A. Designating an individual from the counseling center who is specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist Workforce Members and Students whenever needed;
 - B. Training or retraining Workforce Members or Students on MD Anderson's responsibilities to address allegations of Sexual Harassment and Sexual Misconduct;
 - C. Developing materials on Sexual Harassment and Sexual Misconduct, which should be distributed to Workforce Members or Students;
 - D. Conducting bystander intervention and sexual violence prevention programs;
 - E. Issuing policy statements or taking other steps that clearly communicate that MD Anderson does not tolerate Sexual Harassment and Sexual Misconduct and will respond to any incidents and to any Workforce Member or Student who reports such incidents;
 - F. Conducting climate check to assess the effectiveness of efforts to ensure that MD Anderson is free from Sexual Harassment and Sexual Misconduct, and using that information to inform future proactive steps; and
 - G. Targeted training for a group of MD Anderson Workforce Members or Students.
- 6.3 MD Anderson will take prompt disciplinary action against any individuals or organizations within its control who violate this policy. Disciplinary actions that may be imposed for violation of this policy include termination, expulsion, suspension, probation, demotion, issuance of a Notice, Final Notice, reprimand, bar from premises, and issuance of other learning activities.

7.0 Training and Education

- 7.1 All employees are required to complete institutional EEO training during new employee orientation and biennially thereafter.

- 7.2 All Trainees will complete institutional Equal Opportunity training as soon as practical within the first year of their appointment.
- 7.3 EEO and HR Regulations investigators and other MD Anderson employees involved in the complaint process will receive training at least annually on the issues related to Sexual Harassment and Sexual Misconduct, including a review of the policy, Sexual Harassment involving same-sex or international Students, standards for consent and proper investigation techniques.
- 7.4 MD Anderson will engage in risk reduction strategies emphasizing the collective responsibility of the MD Anderson community to reduce the risk of Sexual Harassment and Sexual Misconduct. This includes a prevention and education program about Sexual Harassment and Sexual Misconduct that includes bystander intervention training that enables all Workforce Members and Students to take a role in preventing and interrupting incidents of Sexual Harassment or Sexual Misconduct.
- 7.5 This policy will be made available to all members of the MD Anderson community. Periodic notices sent to Students, residents, fellows and other Trainees, and employees about this policy will include information about the complaint procedure and will refer individuals to the designated offices for additional information.

8.0 Retaliation

- 8.1 A Workforce Member or Student who retaliates in any way against an individual for filing a complaint or participating in an investigation or adjudication is subject to disciplinary action, up to and including termination. Appropriate action will also be taken in the event a contract worker, vendor, patient, or visitor retaliates in any way against such an individual.
- 8.2 Any person covered by this policy who believes they have been subject to Retaliation should immediately report these concerns to EEO and HR Regulations or a Title IX Coordinator. Complaints of Retaliation will be handled in accordance with the [Non-Retaliation Policy \(UTMDACC Institutional Policy# ADM0254\)](#).

9.0 Title IX Grievance Procedure

This complaint procedure shall also constitute the grievance procedure for complaints alleging unlawful sex discrimination required under Title IX of the Education Amendments of 1972. As used herein, "complaint" is synonymous with "grievance."

ATTACHMENTS/LINKS

[Sexual Harassment / Sexual Misconduct Complaint Resolution Procedures \(Attachment # ATT1962\).](#)

[Supplemental Definitions \(Attachment # ATT1961\).](#)

RELATED POLICIES

[AVA-Trainee Disciplinary Actions and Appeals Policy \(UTMDACC Institutional Policy # ACA0068\).](#)

[Clery Act Policy on Reporting Criminal Activity \(UTMDACC Institutional Policy # ADM1104\).](#)

[Disciplinary Action Policy \(UTMDACC Institutional Policy #ADM0256\).](#)

[Equal Employment Opportunity Policy \(UTMDACC Institutional Policy # ADM0284\).](#)

[Non-Retaliation Policy \(UTMDACC Institutional Policy # ADM0254\).](#)

[Termination of Employment of a Faculty Member Policy \(UTMDACC Institutional Policy # ACA0059\).](#)

JOINT COMMISSION STANDARDS / NATIONAL PATIENT SAFETY GOALS

None.

OTHER RELATED ACCREDITATION / REGULATORY STANDARDS

None.

REFERENCES

[Clery Act.](#)

[Family Education Rights and Privacy Act.](#)

POLICY APPROVAL

Approved With Revisions Date: 07/07/2015

Approved Without Revisions Date:

Implementation Date: 07/07/2015

Version: 25.0

RESPONSIBLE DEPARTMENT(S)

Human Resources

MD Anderson Institutional Policy Attachment

SUPPLEMENTAL DEFINITIONS

Governing Policies*:

[Sexual Harassment and Sexual Misconduct Prevention Policy \(UTMDACC Institutional Policy # ADM0285\).](#)

* Refer to the governing policy, listed above, for more complete guidance and instructions.

Consent – A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not apply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity presumes a lack of consent.

Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) intimidation, (d) coercion, (e) incapacitation or (f) any other factor that would eliminate an individual's ability to exercise his or her own free will to choose whether or not to have sexual activity.

A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity.

The definition of consent for the crime of sexual assault in Texas can be found in Section 22.011(b) of the Texas Penal Code.¹

¹ Section 22.011(b) of the Texas Penal Code: Non-consensual activity includes, but is not limited to: (1) the actor compels the other person to submit or participate by the use of physical force or violence; (2) the actor compels the other person to submit or participate by threatening to use force or violence against the other person, and the other person believes that the actor has the present ability to execute the threat; (3) the other person has not consented and the actor knows the other person is unconscious or physically unable to resist; (4) the actor knows that as a result of mental disease or defect the other person is at the time of the sexual assault incapable either of appraising the nature of the act or of resisting it; (5) the other person has not consented and the actor knows the other person is unaware that the sexual assault is occurring; (6) the actor has intentionally impaired the other person's power to appraise or control the other person's conduct by administering any substance without the other person's knowledge; (7) the actor compels the other person to submit or participate by threatening to use force or violence against any person, and the other person believes that the actor has the ability to execute the threat.

Dating Violence² – Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.

- a) *The existence of such a relationship shall be determined by the victim with consideration of the following factors:*
 - i. The length of the relationship;
 - ii. The type of relationship; and
 - iii. The frequency of interaction between the persons involved in the relationship
- b) *Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include acts covered under the definition of domestic violence.*

Domestic (Family) Violence³ – includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.

² Dating Violence is defined by the Texas Family Code Section 71.0021 as:

- (a) "Dating violence" means an act, other than a defensive measure to protect oneself, by an actor that:
 - (1) is committed against a victim:
 - (A) with whom the actor has or has had a dating relationship; or
 - (B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and
 - (2) is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or sexual assault.
- (b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:
 - (1) the length of the relationship;
 - (2) the nature of the relationship; and
 - (3) the frequency and type of interaction between the persons involved in the relationship.
- (c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b).

Texas Penal Code Section 22.01 provides the criminal penalties associated with Dating Violence.

³ Family Violence is defined by the Texas Family Code Section 71.004 as:

- (1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or sexual assault, but does not include defensive measures to protect oneself;
- (2) abuse, as that term is defined by Sections [261.001\(1\)\(C\)](#), (E), and (G), by a member of a family or household toward a child of the family or household; or
- (3) dating violence, as that term is defined by Section [71.0021](#).

Texas Penal Code Section 22.01 provides the criminal penalties associated with Domestic (Family) Violence.

Sexual Assault⁴ – An offense that meets the definition of rape, fondling, incest, or statutory rape:

- c) *Rape*: the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- d) *Fondling*: The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.
- e) *Incest*: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- f) *Statutory Rape*: Sexual Intercourse with a person who is under the statutory age of consent.

Sexual Exploitation – Occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit, or to benefit anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material via email, via text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity, letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.

⁴ Sexual Assault is defined by Texas Penal Code Section 22.011 as intentionally or knowingly:

- a) Causing the penetration of the anus or sexual organ of another person by any means, without that person's consent;
- b) Causing the penetration of the mouth of another person by the sexual organ of the actor, without that person's consent; or
- c) Causing the sexual organ of another person, without that person's consent, to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor.

Stalking⁵ – Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition,

- a) *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveys, threatens, or communicates to or about a person, or interferes with a person's property.
- b) *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
- c) *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

⁵ Stalking as defined by Texas Penal Code, sec. 42.072 as when an individual on more than one occasion and pursuant to the same scheme or course of conduct that is directed specifically at another person, knowingly engages in conduct that:

- a) is considered harassment, or that the actor knows or reasonably should know the other person will regard as threatening:
 - i. bodily injury or death for the other person;
 - ii. bodily injury or death for a member of the other person's family or household or for an individual with whom the other person has a dating relationship; or
 - iii. that an offense will be committed against the other person's property;
- b) causes the other person, a member of the other person's family or household, or an individual with whom the other person has a dating relationship to be placed in fear of bodily injury or death or in fear that an offense will be committed against the other person's property, or to feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended; and
- c) would cause a reasonable person to:
 - i. fear bodily injury or death for himself or herself;
 - ii. fear bodily injury or death for a member of the person's family or household or for an individual with whom the person has a dating relationship;
 - iii. fear that an offense will be committed against the person's property; or
 - iv. feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended.



Institutional Handbook of Operating Procedures (IHOP)

Section:	4 – Institutional Compliance Related		First Release Date: 10/05/2004
Policy Name:	4_1_5 Sexual Harassment/Sexual Misconduct		
Revision Author:	Office of Legal Affairs		Reviewed Date: 06/15/2015 <input type="checkbox"/> Without Changes <input checked="" type="checkbox"/> With Changes
Original Author:	Associate VP Human Resources		
Approving Body:	Dates of Approval:		Next Review Date: 06/15/2018
UTS Office of General Counsel			
Executive Cabinet	05/27/2015		
Executive Institutional Compliance Committee	00/00/2015		
Deans Council	06/03/2015		

Scope:	This policy applies to all University of Texas Health Science Center at Tyler administrators, faculty, staff, students, and third parties within the University's control, including visitors and applicants for employment. It applies to conduct regardless of where it occurs, including off University property, if it potentially affects the complainant's education or employment with the University. In addition, it applies whether the complaint was made by or against a third party, and whether the complaint was made verbally or in writing.
Purpose:	The University of Texas Health Science Center at Tyler is committed to maintaining a learning and working environment that is free from discrimination based on sex in accordance with Title IX of the Higher Education Amendment of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act).

POLICY:

Section 1 General Policy Statement.

- 1.1 The University of Texas Health Science Center at Tyler ("University") is committed to maintaining a learning and working environment that is free from discrimination based on sex in accordance with Title IX of the Higher Education Amendments of 1972 (Title IX), which prohibits discrimination on the basis of sex in educational programs or activities; Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act). Sexual misconduct is a form of sex discrimination and will not be tolerated. As stated in the definition, sexual misconduct includes sexual harassment, sexual violence, sexual assault, stalking, domestic violence and/or dating violence. Individuals who engage in sexual misconduct and other inappropriate sexual conduct will be subject to disciplinary action.

- 1.2 The University will take prompt disciplinary action against any individuals or organizations within its control who violate this Policy. The University encourages



any student, faculty, staff or visitor to promptly report violations of this Policy to an individual identified in Section 3.2.

Section 2 Applicability. This Policy applies to all University administrators, faculty, staff, students, and third parties within the University's control, including visitors and applicants for employment. It applies to conduct regardless of where it occurs, including off University property, if it potentially affects the complainant's education or employment with the University. It also applies regardless of the gender, gender identity or sexual orientation of the complainant or the respondent. In addition, it applies whether the complaint was made by or against a third party, and whether the complaint was made verbally or in writing.

Section 3 Filing a Complaint and Reporting Violations.

3.1 All Members of the University Community, Third Party and Anonymous Complaints. All administrators, faculty, staff, students, and third parties are strongly encouraged to immediately report any incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct to the Title IX Coordinator or Deputy Coordinators.

- a. Anonymity. Individuals wishing to remain anonymous can file a complaint in any manner, including by telephone or written communication with the Title IX Coordinator or a Deputy Coordinator; however, electing to remain anonymous may greatly limit the University's ability to stop the harassment, collect evidence, or take effective action against individuals or organizations accused of violating the Policy.
- b. Confidentiality. The University has an obligation to maintain an environment free of sex discrimination, thus many University employees have mandatory reporting and response obligations and may not be able to honor a complainant's request for confidentiality. Complainants who want to discuss a complaint in strict confidence may use the resources outlined in Section 3.5.
- c. Timeliness of Complaint. Complaints should be reported as soon as possible after the complainant becomes aware of the inappropriate conduct. Delays in reporting can greatly limit the University's ability to stop the harassment, collect evidence, and/or take effective action against individuals or organizations accused of violating the Policy.

3.2 Responsible Employees. Incidents of sexual misconduct (including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees. A Responsible Employee is a University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations



as defined in Section 3.5.¹ Responsible Employees can find contact information for the Title IX Coordinator and Deputy Coordinators at the following website:

[\[REDACTED\]](#).

- 3.3 Reporting to Law Enforcement. Complaints of sexual misconduct may also be made to The University of Texas at Health Science Center at Tyler Police Department at (903) 877-5297 (non-emergency) or (903) 877-4444 (emergency) or to the City of Tyler Police Department (903) 531-1090 (non-emergency) or 911 (emergency) or to other local law enforcement authorities. The Title IX Deputy Coordinators can help individuals contact these law enforcement agencies. Employees and students with protective or restraining orders relevant to a complaint are encouraged to provide a copy to the University Police Department.

If a complaint of sexual misconduct is reported to the University Police Department, it shall advise the complainant of his or her right to file a complaint under this Policy. To the extent allowed by law and University policy, the University Police Department shall also notify the Title IX Coordinator of the complaint, and provide the Title IX Coordinator or the individual investigating the complaint access to any related University law enforcement records, so long as doing so does not compromise any criminal investigation.

- 3.4 Reporting to Outside Entities. An individual wishing to make a complaint may also contact the U.S. Department of Education, Office for Civil Rights (OCR) to complain of sex discrimination or sexual misconduct including sexual violence:

Office for Civil Rights

U.S. Department of Education
1999 Bryan Street, Suite 1620
Dallas, TX 75201-6810
Telephone: (214) 661-9600
Facsimile: (214) 661-9587

Employees may also contact the U.S. Equal Employment Opportunity Commission to complain of sex discrimination or sexual harassment:

U.S. Equal Employment Opportunity Commission
Dallas District Office
207 S. Houston Street, 3rd Floor
Dallas, TX 75202
Phone: (800) 669-4000
FAX: (214) 253-2720

¹ For example, a student may make a complaint to an employee in the Dean of Students' Office, a faculty member or university police. Each of these individuals is considered a Responsible Employee and accordingly each is obligated to report the complaint to the Title IX Coordinator or other appropriate designee.



3.5 Confidential Support and Resources. Physical and mental health care professionals and pastoral counselors (including those who act in that role under the supervision of these individuals) are prohibited by confidentiality laws from reporting any information about an incident to anyone, in any way that identifies the victim, without the victim's permission. Thus, students may discuss an incident with a counselor in Counseling and Psychological Services, a health care provider in Health Services, the clergyperson of the student's choice, or an off-campus resource (i.e. rape crisis center, doctor, psychologist, etc.) without concern that the incident will be reported to the Title IX Coordinator. Employees may also seek assistance from the Employee Assistance Program, their own personal health care provider, the clergyperson of the employee's choice, or an off-campus rape crisis resource without concern that the incident will be reported to the Title IX Coordinator. The University and community resources that provide such services are:

The University of Texas at Tyler Student Counseling Center
3900 University Boulevard
Tyler, Texas 75799
(903) 566-7254
Office hours : Monday-Friday 8 a.m. – 5 p.m.
24/7 Crisis line: (903) 566-7254

East Texas Crisis Center
2401 Old Noonday Road
Tyler, Texas 75701
(903) 509-2526
24 hours Crisis line: (903) 595-5591 (800) 333-0358

3.6 Immunity. In an effort to encourage reporting of sexual misconduct, the University may grant immunity from student disciplinary action to a person who voluntarily initiates a report of sexual misconduct or assists a complainant, if that person acts in good faith in reporting a complaint or participating in an investigation. This immunity does not extend to the person's own violations of this Policy.

3.7 Title IX Coordinator and Deputy Coordinators. The Title IX Coordinator and Deputy Coordinators are:

Mickey Slimp, Coordinator
11937 US Highway 271
Tyler, Texas 75708
(903) 877-1220
mickey.slimp@uthct.edu

Donny Henry, Deputy Coordinator
11937 US Highway 271
Tyler, Texas 75708
(903) 877-7323
donald.henry@uthct.edu



David Conley, Deputy Coordinator
11937 US Highway 271
Tyler, Texas 75708
(903) 877-7575
david.conley@uthct.edu

Section 4. Parties' Rights Regarding Confidentiality. The University has great respect for the privacy of the parties in a complaint. Under federal law, however, Responsible Employees who receive a report of sexual misconduct must share that information with the Title IX Coordinator and/or a Deputy Coordinator. Those individuals may need to act to maintain campus safety and must determine whether to investigate further under Title IX, regardless of the complainant's request for confidentiality. In the course of the investigation, the University may share information only as necessary with people who need to know to fulfill the purposes of this Policy and applicable law, such as investigators, witnesses, and the respondent. The University will take all reasonable steps to ensure there is no retaliation against a complainant. The University will comply with the Family Educational Rights and Privacy Act (FERPA), with Texas Education Code Sec. 51.971 and other confidentiality laws as they apply to Title IX investigations. To the extent possible, the University will also protect the privacy of all parties to a report of sexual misconduct.

Section 5. Victim Resources.

5.1 Immediate Assistance.

- A. Healthcare. An individual who experiences any form of sexual, domestic, or dating violence is encouraged to seek immediate medical care. Also, preserving DNA evidence can be key to identifying the perpetrator in a sexual violence case. Victims can undergo a medical exam to preserve physical evidence with or without police involvement. If possible, this should be done immediately. If an immediate medical exam is not possible, individuals who have experienced a sexual assault may have a Sexual Assault Forensic Exam (SAFE) performed by a Sexual Assault Nurse Examiner (SANE) within four (4) days of the incident. With the examinee's consent, the physical evidence collected during this medical exam can be used in a criminal investigation; however, a person may undergo a SAFE even without contacting, or intending to contact, the police. To undergo a SAFE, go directly to the emergency department of Trinity Mother Frances Hospital, East Texas Medical Center or the nearest hospital that provides SAFE services, or contact the East Texas Crisis Center.

For more information about the SAFE, see <http://hopelaws.org/> or <https://www.texasattorneygeneral.gov/victims/sapcs.shtml#survivors>. The cost of the forensic portion of the exam is covered by the law enforcement agency that is investigating the assault or, in cases where a report will not be made to the police, the Texas Department of Public Safety. This does not include fees related to medical treatment that are not a part of the SAFE.



- B. Police Assistance. The University encourages individuals who have experienced sexual misconduct to make a report to the police. It is important to note that a police department's geographic jurisdiction depends on where the sexual misconduct occurred. If the incident occurred on the University campus, a report may be filed with the University Police Department by calling (903) 877-5297 or in person at University Police headquarters on campus at Building 717, Camp Fannin Avenue, Tyler, Texas, even if time has passed since the assault occurred.

The University Police Department can also assist with filing any protective orders. Reporting an assault to law enforcement does not mean that the case will automatically go to criminal trial or to a University disciplinary hearing. If the University police are called, a uniformed officer will be sent to the scene to take a detailed statement. A report may be filed with the University police even if the assailant was not a University student or employee. If the incident occurred in the City of Tyler, but off campus, a report may be filed with the Tyler Police Department, even if time has passed since the assault occurred, and likewise for other surrounding cities. If a report is made to the police, a uniformed officer will usually be dispatched to the location to take a written report.

- C. Counseling and Other Services. A person who has experienced sexual violence is strongly encouraged to seek medical and psychological care even if he/she does not plan to request a SAFE or report the assault to the police. He/she may be prescribed medications to prevent sexually transmitted infections and/or pregnancy even if the police are not contacted or if a SAFE is not performed.

Medical care can be provided at the University Health Clinic (for students only) at the University, at a local emergency room, or by a private physician. Psychological support can be provided by the Student Counseling Center at The University of Texas at Tyler (students), Employee Assistance (employees and students, if applicable), a referral through the Employee Assistance Program, or a care provider of the individual's choosing.

Students desiring counseling should contact:

Student Counseling Center
The University of Texas at Tyler
(903) 566-7254

Faculty and staff should contact:

Employee Assistance Program
(800) 346-3549
www.uteap.org

5.2 Interim Measures and Ongoing Assistance.

In addition to the services provided by on- and off-campus providers, the University will take immediate and interim measures to assure the safety and well-being of the



complainant, to maintain an environment free from harassment, discrimination or retaliation, and to protect the safety and well-being of community members.

For example, if the accused is an employee, interim action may include reassignment and suspension. If the accused is a student, interim action may include suspension, no contact orders, changing living arrangements, modifying the course schedule, or modifying other aspects of the educational environment. Interim action may also include allowing the complainant to move to a new residence hall, change work schedules, alter academic schedules, and withdraw from or retake a class without penalty. Moreover, the University may be able to provide additional accommodations for a complainant while an investigation is pending.

Section 6 Intake Procedures and Protocol.

6.1 Key Officials in an Investigation.

- A. Title IX Coordinator. The Title IX Coordinator is the senior University administrator who oversees the University's compliance with Title IX. The Title IX Coordinator is responsible for leading the administrative investigation of reports of sexual misconduct and is available to discuss options, provide support, explain University policies and procedures, and provide education on relevant issues. The Title IX Coordinator may designate one or more Deputy Title IX Coordinators.

Any member of the University community may contact the Title IX Coordinator with questions.

- B. Investigators. The Title IX Coordinator will ensure that complaints are properly investigated under this Policy. The Title IX Coordinator will also ensure that investigators are properly trained at least annually to conduct investigations that occur under this Policy. The Title IX Deputy Coordinators shall supervise and advise the Title IX investigators when conducting investigations and update the Title IX Coordinator as necessary.

6.2 Assessment of Complaint.

The Title IX Coordinator or designee will conduct a preliminary assessment of the complaint and determine whether a formal resolution or an informal resolution should occur. Informal resolution may be appropriate:

- A. With a complaint solely of sexual harassment, not including sexual violence as defined in this Policy; and
- B. When both parties are categorically similar (i.e. employee/employee or student/student).

6.3 Notification of University Offices Offering Assistance. After receiving a complaint, the Title IX Coordinator or Deputy Coordinator shall direct the Academic Services and Institutional Assessment Coordinator for students or Human Resources for



employees to inform the complainant of available resources and assistance. While taking into consideration requested confidentiality, the Academic Services and Institutional Assessment Coordinator for students and Human Resources office may serve as a liaison between the complainant and the Title IX Coordinator during the investigation.

6.4 Informal Resolution of Certain Sexual Harassment Complaints.

A complainant may use this option instead of or before filing a formal complaint, but is not required to do so. Also, this option is not permitted for sexual violence cases. Anyone who believes that he/she has been subject to sexual misconduct may immediately file a formal complaint as described in Section 3 of this Policy. An individual wishing to use the informal resolution process should contact the Title IX Coordinator.

- A. Informal Assistance. In certain sexual harassment complaints, an individual may not wish to file a formal complaint. If informal assistance is deemed appropriate by the Title IX Coordinator or designee, then the individual will be provided assistance in informally resolving the alleged sexual harassment. Assistance may include providing the complainant with strategies for communicating with the offending party that his or her behavior is unwelcomed and should cease, directing a University official to inform the offending party to stop the unwelcomed conduct, or initiating mediation. However, the University may take more formal action, including disciplinary action, to ensure an environment free of sexual harassment or sexual misconduct.
- B. Timeframe. Informal resolutions should be completed no later than ten (10) business days after the Title IX Coordinator receives the request for informal resolution.
- C. Confidentiality and Documentation. The University will document and record informal resolutions. The Title IX Coordinator will retain the documentation. If the individual's wish to remain anonymous limits the University's ability to establish facts and eliminate the potential harassment, the University will attempt to find the right balance between the individual's desire for privacy and confidentiality and its responsibility to provide an environment free of sexual harassment.

6.5 Formal Complaint and Investigation.

Formal Complaint. To begin the investigation process, the complainant should submit a signed, written statement setting out the details of the conduct that is the subject of the complaint, including the complainant's name, signature, and contact information; the name of the person directly responsible for the alleged violation; a detailed description of the conduct or event that is the basis of the alleged violation; the date(s) and location(s) of the occurrence(s); the names of any witnesses to the occurrence(s); the resolution sought; and any documents or information that is relevant to the complaint. The University may initiate an investigation regardless of the manner in which a complaint is received or whether a complaint is received at all. However, the complainant is strongly encouraged to file a written complaint. If



the complaint is not in writing, the investigator should prepare a statement of what he/she understands the complaint to be and ask the complainant to verify that statement. The University office receiving the complaint should refer the complaint to the Title IX Coordinator.

Investigation.

- A. An investigator will be assigned to investigate the complaint.
- B. As part of the investigation process, the complainant and the respondent will be provided notice of the complaint and allowed a reasonable time to respond in writing.
- C. The complainant and the respondent may present any document or information that is believed to be relevant to the complaint.
- D. Persons thought to have information relevant to the complaint will be interviewed, and those interviews will be appropriately documented. Both the respondent and the complainant may recommend witnesses for interview and suggest questions that should be asked. Neither the complainant nor the respondent will normally attend these interviews or the gathering of evidence; however, if either one is permitted to attend, the other shall have the same right.
- E. The investigation of a complaint will be concluded as soon as possible after receipt of the written complaint. In investigations exceeding sixty (60) days, a justification for the delay will be presented to and reviewed by the Title IX Coordinator or his/her supervisor. The complainant, respondent, and supervisor should be provided updates on the progress of the investigation and issuance of the report.
- F. After the investigation is complete, a written report² will be issued to the Title IX Coordinator and the appropriate administrator. The appropriate administrator will depend on the status of the respondent (i.e., student, faculty or employee). The report shall include factual findings and a preliminary conclusion of whether a policy violation occurred (based on a "preponderance of the evidence" standard).
- G. After the written report is completed, the complainant and respondent will be allowed to inspect the report or, at the University's discretion, provided letters summarizing the findings in the report in keeping with FERPA and Texas Education Code, Section 51.971. If a letter is provided, it will contain enough detail to allow the complainant and respondent to comment on the adequacy of the investigation. Each will have seven (7) business days from the date of receipt (as indicated on the return receipt) to submit written comments regarding the investigation to the Title IX Coordinator.

² Appropriate report redactions will be made to comply with Texas Education Code, Section 51.971.



H. Within seven (7) business days after the deadline for receipt of comments from the complainant and respondent, the Title IX Coordinator or his/her designee will: (1) request further investigation into the complaint; (2) dismiss the complaint if it is determined that no violation of policy or inappropriate conduct occurred; or (3) find that the Policy was violated. A decision that the Policy was violated shall be based on the record.

I. If the Title IX Coordinator or his/her designee determines that the Policy was violated, he/she will refer the matter for disciplinary action under the applicable disciplinary policies and procedures, which depend on the status of the respondent (i.e., student, faculty or employee).

J. The complainant and the respondent shall be informed concurrently in writing of the decision in accordance with section 6.5.G of this Policy.

K. The appropriate administrator will impose disciplinary action or sanction(s) in accordance with the applicable policies and procedures dependent on the status of the respondent (i.e., student, faculty or employee).

6.6 Standard of Proof. All investigations under this Policy will use the preponderance of the evidence standard to determine violations of this Policy.

6.7 Timelines. Barring any unforeseen and reasonable delays, the University will endeavor to resolve complaints under this Policy no later than sixty (60) calendar days after the initial report was received by the Responsible Employee. If the investigation and resolution exceeds 60 calendar days, the University will notify all parties in writing of the reason for the delay and the expected time frame adjustment. Best efforts will be made to complete the process in a timely manner by balancing principles of thoroughness and fundamental fairness with promptness.

At the request of law enforcement, the University may defer its fact-gathering until after the initial stages of a criminal investigation. The University will nevertheless communicate with the complainant regarding his/her Title IX rights, procedural options, the status of the investigation, and the implementation of interim measures to ensure his/her safety and well-being. The University will also communicate with the respondent regarding his/her Title IX rights, procedural options and information regarding the status of the investigation. The University will promptly resume its fact-gathering as soon as law enforcement has completed its initial investigation, or if the fact-gathering is not completed in a reasonable time.

The filing of a complaint under this Policy does not excuse the complainant from meeting time limits imposed by outside agencies. Likewise, the applicable civil or criminal statute of limitations will not affect the University's investigation of the complaint.

6.8 Remedies. In addition to sanctions that may be imposed pursuant to the appropriate disciplinary policy, the University will take appropriate action(s),



including but not limited to those below, to resolve complaints of sexual misconduct, prevent any recurrence and, as appropriate, remedy any effects:

- (a) Imposing sanctions against the respondent, including attending training, suspension, termination or expulsion;
- (b) Ensuring the complainant and respondent do not share classes, working environments or extracurricular activities;
- (c) Making modifications to the on campus living arrangements of the respondent or complainant (if the complainant requests to be moved);
- (d) Providing comprehensive, holistic victim services including medical, counseling and academic support services, such as tutoring;
- (e) Providing the complainant extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;
- (f) Determining whether sexual misconduct adversely affected the complainant's University standing;
- (g) Designating an individual specifically trained in providing trauma-informed comprehensive services to victims of sexual violence to be on call to assist victims whenever needed;
- (h) Conducting, in conjunction with University leaders, a University climate check to assess the effectiveness of efforts to ensure that the University is free from sexual misconduct, and using that information to inform future proactive steps that the University will take;
- (i) Providing targeted training for a group of students if, for example, the sexual misconduct created a hostile environment in a residence hall, fraternity or sorority, or on an athletic team. Bystander intervention and sexual misconduct prevention programs may be appropriate;
- (j) Issuing policy statements or taking other steps to clearly communicate that the University does not tolerate sexual misconduct and will respond to any incidents and to any individual who reports such incidents.

These remedies are separate from, and in addition to, any interim measures that may have been provided before the end of the University's investigation. If the complainant did not take advantage of a specific service (e.g., counseling) when offered as an interim measure, the complainant should still be offered, and is still entitled to, appropriate final remedies that may include services the complainant declined as an interim measure. A refusal at the interim stage does not mean the refused service or set of services should not be offered as a remedy.

6.9 Sanctions and Discipline. Disciplinary action against faculty and employees will be handled under the University's policies for discipline and dismissal of faculty and employees. Disciplinary actions may include, but are not limited to, written reprimands, the imposition of conditions, reassignment, suspension, and dismissal.



The Dean of Students or his/her designee will impose disciplinary action, if any, against a student under the University's student disciplinary procedures. Student disciplinary actions may include, but are not limited to, probation, suspension, or expulsion.

LINK TO STUDENT CONDUCT POLICY

In accordance with federal law, when disciplinary action is commenced because of a violation of this Policy, the above policies will provide both parties equal opportunities in all aspects of the process including notices and advisor representation. Further, the standard of proof in determining the outcome will be the "preponderance of the evidence," as defined in this Policy.

Section 7. Provisions Applicable to the Investigation.

- 7.1 Assistance. During the investigation process, a complainant or respondent may be assisted by an advisor, who may be an attorney; however, the advisor may not actively participate in a meeting or interview.
- 7.2 Time Limitations. Time limitations in these procedures may be modified by the Title IX Coordinator or appropriate administrator on a written showing of good cause by the complainant, respondent, or the University.
- 7.3 Concurrent Criminal or Civil Proceedings. The University will not wait for the outcome of a concurrent criminal or civil justice proceeding to take action. The University has an independent duty to investigate complaints of sexual misconduct. (Except as provided in Section 6.7).
- 7.4 Documentation. The University will document complaints and their resolution and retain copies of all materials in accordance with state and federal records laws and University policy.

Section 8. Dissemination of Policy and Educational Programs.

- 8.1 Dissemination of Policy. This Policy will be made available to all University administrators, faculty, staff, and students online at [redacted] and in University publications. Periodic notices will be sent to University administrators, faculty, staff and students about the University's Sexual Harassment/Sexual Misconduct Policy. The notice will include information about sexual misconduct, including the complaint procedure, and about University disciplinary policies and available resources, such as support services, health, and mental health services. The notice will specify the right to file a complaint under this Policy and with law enforcement and will refer individuals to designated offices or officials for additional information.
- 8.2 Ongoing Sexual Misconduct Training. The University's commitment to raising awareness of the dangers of sexual misconduct includes offering ongoing education through annual training and lectures by faculty, staff, mental health professionals, and/or trained University personnel. The University will periodically educate and train employees and supervisors regarding the Policy and conduct that could constitute a violation of the Policy. Preventive education and training programs will be provided to University administrators, faculty, staff, and students and will include information about risk reduction, including bystander intervention. Training on sexual harassment and sexual violence policy and procedures will be provided to



law enforcement personnel, including training on their obligation to advise University administrators, faculty, staff, and students of their rights to file a complaint under this Policy and their right to file a criminal complaint. [Link to web page with training](#)

8.3 Training of Coordinators, Investigators, Hearing and Appellate Authorities. All Title IX Coordinators, Deputy Coordinators, investigators, and those with authority over sexual misconduct hearings and appeals shall receive training each academic year about offenses, investigatory procedures, due process, and University policies related to sexual misconduct.

Section 9. Additional Conduct Violations.

9.1 Retaliation. Any administrator, faculty member, student or employee who knowingly and intentionally retaliates in any way against an individual who has brought a complaint under this Policy, participated in an investigation or disciplinary process of such a complaint, or opposed any unlawful practice, is subject to disciplinary action up to and including dismissal or separation from the University.

9.2 False Complaints. Any person who knowingly and intentionally files a false complaint under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. A finding of non-responsibility does not indicate a report was false.

9.3 Interference with an Investigation. Any person who knowingly and intentionally interferes with an ongoing investigation conducted under this Policy is subject to disciplinary action up to and including dismissal or separation from the University. Interference with an ongoing investigation may include, but is not limited to:

- (a) Attempting to coerce, compel, or prevent an individual from providing testimony or relevant information;
- (b) Removing, destroying, or altering documentation relevant to the investigation; or
- (c) Providing false or misleading information to the investigator, or encouraging others to do so.

9.4 No Effect on Pending Personnel or Academic Actions Unrelated to the Complaint. The filing of a complaint under this Policy will not stop or delay any action unrelated to the complaint, including: (1) any evaluation or disciplinary action relating to a complainant who is not performing up to acceptable standards or who has violated University rules or policies; (2) any evaluation or grading of students participating in a class, or the ability of a student to add/drop a class, change academic programs, or receive financial reimbursement for a class; or (3) any job-related functions of a University employee. Nothing in this section shall limit the University's ability to take interim action.

Section 10 Documentation. The University will confidentially maintain information related to complaints under this Policy, as required by law. The Title IX Coordinator will document each complaint or request for assistance under this Policy, whether made by a victim, a



third party, or anonymously, and will review and retain copies of all reports generated as a result of investigations. These records will be kept confidential to the extent permitted by law. Any person who knowingly and intentionally makes an unauthorized disclosure of confidential information contained in a complaint or otherwise related to the investigation of a complaint under this Policy is subject to disciplinary action.

Section 11 Annual Reporting and Notice. The University's Title IX General Policy Statement will be made available to all students, faculty, and employees online, in required publications and in specified departments. On an annual basis, and upon any updates to this Policy, the University will send notice of its compliance with Title IX as required by law. The annual notice will designate the Title IX Coordinator and Deputy Coordinators, explain which offenses are prohibited and where to report violations of this Policy, provide information regarding victim resources, and provide a link to this Policy and other related University websites.

3. Definitions and Examples³

Consent – A voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity. Consent to one act does not imply consent to another. Past consent does not imply future consent. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Consent can be withdrawn at any time. Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) intimidation, (d) coercion, (e) incapacitation or (f) any other factor that would eliminate an individual's ability to exercise his/ her own free will to choose whether or not to have sexual activity.

A current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly indicates a willingness to engage in each instance of sexual activity.

The definition of consent for the crime of sexual assault in Texas can be found in Section 22.011(b) of the Texas Penal Code.⁴

³ The definitions provided in the main body of the text are the definitions adopted by the University. When applicable, the state law definition is included. In any criminal action brought by law enforcement, the state law definition will apply.

⁴ Texas Penal Code, Section 22.011(b) states that a sexual assault is without consent if: (1) the actor compels the other person to submit or participate by the use of physical force or violence; (2) the actor compels the other person to submit or participate by threatening to use force or violence against the other person, and the other person believes that the actor has the present ability to execute the threat; (3) the other person has not consented and the actor knows the other person is unconscious or physically unable to resist; (4) the actor knows that as a result of mental disease or defect the other person is at the time of the sexual assault incapable either of appraising the nature of the act or of resisting it; (5) the other person has not consented and the actor knows the other person is unaware that the sexual assault is occurring; (6) the actor has intentionally impaired the other person's power to appraise or control the other person's conduct by administering any substance without the other person's knowledge; (7) the actor compels the other person to submit or participate by threatening to use force or violence against any person, and the other person believes that the actor has the ability to execute the threat.



Dating Violence⁵ – Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim. The existence of such a relationship will be determined by the victim with consideration of the following factors:

- a) The length of the relationship;
- b) The type of relationship; and
- c) The frequency of interaction between the persons involved in the relationship

Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. It does not include acts covered under the definition of domestic violence.

Domestic (Family) Violence⁶ – includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the state of Texas, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the state of Texas.

Hostile Environment – exists when sex-based harassment is sufficiently severe or pervasive to deny or limit the individual's ability to participate in or benefit from the University's programs or activities or an employee's terms and conditions of employment. A hostile environment can be created by anyone involved in a University's program or activity (e.g., administrators, faculty members, employees, students, and University visitors).

⁵ Dating Violence is defined by the Texas Family Code, Section 71.0021 as:

- (a) an act, other than a defensive measure to protect oneself, by an actor that:
 - (1) is committed against a victim:
 - (A) with whom the actor has or has had a dating relationship; or
 - (B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and
 - (2) is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or sexual assault.
- (b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:
 - (1) the length of the relationship;
 - (2) the nature of the relationship; and
 - (3) the frequency and type of interaction between the persons involved in the relationship.
- (c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b).

Texas Penal Code, Section 22.01 provides the criminal penalties associated with Dating Violence.

⁶ Family Violence is defined by the Texas Family Code Section 71.004 as:

- (1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or sexual assault or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or sexual assault, but does not include defensive measures to protect oneself;
- (2) abuse, as that term is defined by Sections [261.001\(1\)\(C\)](#), (E), and (G), by a member of a family or household toward a child of the family or household; or
- (3) dating violence, as that term is defined by Section [71.0021](#).

Texas Penal Code Section 22.01 provides the criminal penalties associated with Domestic (Family) Violence.



In determining whether sex-based harassment has created a hostile environment, the University considers the conduct in question from both a subjective and objective perspective. It will be necessary, but not adequate, that the conduct was unwelcome to the individual who was harassed. To conclude that conduct created or contributed to a hostile environment, the University must also find that a reasonable person in the individual's position would have perceived the conduct as undesirable or offensive.

To ultimately determine whether a hostile environment exists for an individual or individuals, the University considers a variety of factors related to the severity, persistence, or pervasiveness of the sex-based harassment, including: (1) the type, frequency, and duration of the conduct; (2) the identity and relationships of the persons involved; (3) the number of individuals involved; (4) the location of the conduct and the context in which it occurred; and (5) the degree to which the conduct affected an individual's education or employment.

The more severe the sex-based harassment, the less need there is to show a repetitive series of incidents to find a hostile environment. A single instance of sexual assault may be sufficient to create a hostile environment. Likewise, a series of incidents may be sufficient even if the sex-based harassment is not particularly severe.

First Amendment Considerations: this Policy does not impair the exercise of rights protected under the First Amendment. The University's sexual misconduct policy prohibits only sex-based harassment that creates a hostile environment. In this and other ways, the University applies and enforces this Policy in a manner that respects the First Amendment rights of students, faculty, and others.

Incapacitation – A state of being that prevents an individual from having the capacity to give consent. For example, incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability.

Intimidation – Unlawfully placing another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.

Other Inappropriate Sexual Conduct – Includes unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature directed towards another individual that does not rise to the level of sexual harassment but is unprofessional, inappropriate for the workplace or classroom and is not protected speech. It also includes consensual sexual conduct that is unprofessional and inappropriate for the workplace or classroom.

Preponderance of the Evidence – The greater weight of the credible evidence. Preponderance of the evidence is the standard for determining allegations of sexual misconduct under this Policy. This standard is satisfied if the action is deemed more likely to have occurred than not.

Responsible Employee – A University employee who has the duty to report incidents of sexual misconduct to the Title IX Coordinator or other appropriate designee, or an employee whom an individual could reasonably believe has this duty. Responsible employees include all administrators, faculty, supervisory staff, resident life directors and advisors, and graduate teaching assistants, except any employee with confidentiality obligations as defined in Section 3.5. Incidents of sexual misconduct



(including sexual harassment and sexual violence) and other inappropriate sexual conduct may also be reported to Responsible Employees.

Retaliation – Any adverse action threatened or taken against someone *because* the individual has filed, supported, provided information in connection with a complaint of sexual misconduct or engaged in other legally protected activities. Retaliation includes, but is not limited to, intimidation, threats or harassment against any complainant, witness or third party.

Sexual Assault⁷ – An offense that meets the definition of rape, fondling, incest, or statutory rape:

- a) *Rape*: the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- b) *Fondling*: The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.
- c) *Incest*: Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- d) *Statutory Rape*: Sexual intercourse with a person who is under the statutory age of consent.

Sexual Exploitation – Occurs when an individual takes non-consensual or abusive sexual advantage of another for his or her own benefit, or to benefit anyone other than the one being exploited. Examples of sexual exploitation include, but are not limited to, engaging in voyeurism; forwarding of pornographic or other sexually inappropriate material by email, text, or other channels to non-consenting students/groups; and any activity that goes beyond the boundaries of consent, such as recording of sexual activity, letting others watch consensual sex, or knowingly transmitting a sexually transmitted disease (STD) to another.

Sexual Harassment – Unwelcome conduct of a sexual nature including but not limited to unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature, when submission to such conduct is made either explicitly or implicitly a term or condition of a person's student status, employment, or participation in University activities; such conduct is sufficiently severe or pervasive that it interferes with an individual's education, employment, or participation in University activities, or creates an objectively hostile environment; or such conduct is intentionally directed towards a specific individual and has the effect of unreasonably interfering with that individual's education, employment, or participation in University activities, or creating an intimidating, hostile, or offensive environment. Sexual harassment is a form of sex discrimination that includes:

⁷ Sexual Assault is defined by Texas Penal Code, Section 22.011 as intentionally or knowingly:

- a) Causing the penetration of the anus or sexual organ of another person by any means, without that person's consent; or
- b) Causing the penetration of the mouth of another person by the sexual organ of the actor, without that person's consent; or
- c) Causing the sexual organ of another person, without that person's consent, to contact or penetrate the mouth, anus, or sexual organ of another person, including the actor.



- a) Sexual violence, sexual assault, stalking, domestic violence and dating violence as defined herein.
- b) Physical conduct, depending on the totality of the circumstances present, including frequency and severity, including but not limited to:
 - i. unwelcome intentional touching; or
 - ii. deliberate physical interference with or restriction of movement.
- c) Verbal conduct not necessary to an argument for or against the substance of any political, religious, philosophical, ideological, or academic idea, including oral, written, or symbolic expression, including but not limited to:
 - i. explicit or implicit propositions to engage in sexual activity;
 - ii. gratuitous comments, jokes, questions, anecdotes or remarks of a sexual nature about clothing or bodies;
 - iii. gratuitous remarks about sexual activities or speculation about sexual experiences;
 - iv. persistent, unwanted sexual or romantic attention;
 - v. subtle or overt pressure for sexual favors;
 - vi. exposure to sexually suggestive visual displays such as photographs, graffiti, posters, calendars or other materials; or
 - vii. deliberate, repeated humiliation or intimidation based upon sex.

Sexual Misconduct – A broad term encompassing a range of non-consensual sexual activity or unwelcome behavior of a sexual nature. The term includes, but is not limited to, sexual assault, sexual exploitation, sexual intimidation, sexual harassment, domestic violence, dating violence, and stalking. Sexual misconduct can be committed by men or women, strangers or acquaintances, and can occur between or among people of the same or opposite sex.

Sexual Violence – Physical sexual acts perpetrated against a person’s will or where a person is incapable of giving consent. The term includes, but is not limited to, rape, sexual assault, sexual battery, sexual coercion, sexual abuse, indecency with a child, and/or aggravated sexual assault.

Stalking⁸ – Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others, or suffer substantial emotional distress. For the purposes of this definition--

⁸ Stalking as defined by Texas Penal Code, Section 42.072 is when an individual on more than one occasion and pursuant to the same scheme or course of conduct that is directed specifically at another person, knowingly engages in conduct that:

- a) is considered harassment, or that the actor knows or reasonably should know the other person will regard as threatening:
 - i. bodily injury or death for the other person;
 - ii. bodily injury or death for a member of the other person's family or household or for an individual with whom the other person has a dating relationship; or
 - iii. that an offense will be committed against the other person's property;
- b) causes the other person, a member of the other person's family or household, or an individual with whom the other person has a dating relationship to be placed in fear of bodily injury or death or in fear that an offense will be committed against the other person's property, or to feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended; and
- c) would cause a reasonable person to:
 - i. fear bodily injury or death for himself or herself;
 - ii. fear bodily injury or death for a member of the person's family or household or for an individual with whom the person has a dating relationship;
 - iii. fear that an offense will be committed against the person's property; or
 - iv. feel harassed, annoyed, alarmed, abused, tormented, embarrassed, or offended.



- a) *Course of conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property.
- b) *Reasonable person* means a reasonable person under similar circumstances and with similar identities to the victim.
- c) *Substantial emotional distress* means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

4. Relevant Federal and State Statutes, and Standards

[Title IX of the Education Amendments of 1972, 20 U.S.C. §§ 1681–1688 and its implementing regulations, 34 C.F.R. Part 106](#)

[Title VII of the Civil Rights Act of 1964, 42 U.S.C. §§2000e–2000e-17 and its implementing regulations 29 C.F.R. §1604 11.](#)

[Clery Act, 20 U.S.C 1092\(f\) and its implementing regulations 34 C.F.R. Part 668](#)

[FERPA Regulations, 34 C.F.R. Part 99](#)

5. Other Relevant Policies, Procedures, and Forms

[Regents' Rules and Regulations, Rule 30105, Sexual Harassment, Sexual Misconduct, and Consensual Relationships](#)

[University of Texas System Administration Systemwide Policy \(UTS 184\), Consensual Relationships](#)

University's Sex Discrimination Policy

[Regents' Rules and Regulations, Rule 31008, Termination of a Faculty Member](#)

Staff Discipline policy

Student Discipline policy

6. System Administration Office(s) Responsible for Policy

Office of General Counsel

7. Dates Approved or Amended

April 6, 2015

February 21, 2012

8. Contact Information

Questions or comments about this Policy should be directed to:

- ogc_intake@utsystem.edu

51. Contract (funds coming in) - U. T. Southwestern Medical Center: Culinaire International, Inc. to provide food and beverage service for the North Campus

Agency: Culinaire International, Inc.

Funds: Capital investment of not less than \$250,000 (but not to exceed \$275,000) in the renovation of the North Campus Food Court

Royalties to be paid to U. T. Southwestern Medical Center, to be calculated as follows:

Internal/Full Service Catering (inclusive of Special Events):

0% for Gross Revenues between \$0 and \$100,000 per Contractor Accounting Year

5% for Gross Revenues between \$100,000 and \$500,000 per Contractor Accounting Year

10% for Gross Revenues in excess of \$500,000 per Contractor Accounting Year

Third Floor Food Court:

0% for Gross Revenues between \$0 and \$150,000 per Contractor Accounting Year

5% for Gross Revenues between \$150,000 and \$350,000 per Contractor Accounting Year

10% for Gross Revenues in excess of \$350,000 per Contractor Accounting Year

14th Floor Dining Facility:

Culinaire will pay U. T. Southwestern Medical Center a royalty equal to 50% of the profits earned by Culinaire in the operation of the Dining Facility per year after Culinaire has recovered any accumulated operating losses, plus an annual \$25,000 management fee beginning after the first year of operation which management fee shall be accounted for by a deduction from the profits of the Dining Facility. Profits shall be calculated by Culinaire using generally acceptable accounting practices applied on a consistent basis.

Period: Effective March 28, 2015, and to expire 10 years following completion of upgrade to the Food Court, with the option to extend for two additional two-year terms

Description: Culinaire International, Inc. will (i) provide food and beverage service for U. T. Southwestern Medical Center's North Campus, and will be the exclusive provider of catering services for special events in the Third Floor Food Court and the 14th Floor Dining Facility, with the exception of functions coordinated by the University President's Office; (ii) make a financial commitment to an upgrade to the North Campus dining facilities (including the Third Floor Food Court and the 14th Floor Dining Facility); and (iii) provide all other related, necessary, and appropriate services.

52. Contract (funds coming in) - U. T. Southwestern Medical Center: To provide physician services to Parkland Health and Hospital System for Dallas County Hospital District

Agency: Dallas County Hospital District

Funds: \$70,869,469

Period: October 1, 2015 through September 30, 2016

Description: U. T. Southwestern Medical Center will provide physician services to Parkland Health and Hospital System for Dallas County Hospital District.

53. Contract (funds coming in) - U. T. Southwestern Medical Center: To provide physicians and other health care services to the indigent population of Dallas County at Parkland Health and Hospital System for the Dallas County Indigent Care Corporation (DCICC)

Agency: Dallas County Indigent Care Corporation (DCICC)

Funds: \$142,646,144

Period: October 1, 2015 through September 30, 2016

Description: U. T. Southwestern Medical Center will provide physician and other health care services at Parkland Health and Hospital System to indigent and needy persons in and around Dallas County, Texas.

54. Request for Budget Change - U. T. Southwestern Medical Center: New Hires with Tenure -- amendment to the 2014-2015 budget

The following Requests for Budget Change (RBC) have been administratively approved by the Executive Vice Chancellor for Health Affairs and are recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
Southwestern Medical School					
Cell Biology					
Associate Professor					
Daniela Nicastro (T)	7/1-8/31	100	12	146,000	7042
Pathology					
Professor					
Wenxin Zheng (T)	7/1-8/31	100	12	315,000	7043
Radiology					
Professor					
Joseph Maldjian (T)	7/28-8/31	100	12	410,000	7073
Professor					
Robert Mattrey (T)	7/6-8/31	100	12	360,000	7011

55. Request for Budget Change - U. T. Southwestern Medical Center: New Hire with Tenure -- amendment to the 2015-2016 budget

The following Request for Budget Change (RBC) has been administratively approved by the Executive Vice Chancellor for Health Affairs and is recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
Southwestern Medical School					
Pathology					
Professor					
Yang-Xin Fu (T)	10/15-8/31	100	12	235,000	7349

56. Request for Budget Change - U. T. Southwestern Medical Center: Tenure Appointment -- amendment to the 2015-2016 budget

The following Request for Budget Change (RBC) has been administratively approved by the Executive Vice Chancellor for Health Affairs and is recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
Southwestern Medical School					
Plastic Surgery Jeffrey Kenkel					
From: Professor		100	12	540,000	7267
To: Chairman and Professor (T)	9/1-8/31	100	12	750,000*	

* Reflects base salary and at-risk compensation only and does not include other elements of compensation, such as supplemental compensation or incentive compensation. The proposed complete compensation package for Dr. Kenkel exceeds \$1 million and will be presented to the Board for approval in Executive Session.

57. Request for Budget Change - U. T. Southwestern Medical Center: Approval of Emeritus Title of Albert Roberts from Professor to Professor Emeritus, Department of Internal Medicine in the Medical School (RBC No. 7408) -- amendment to the 2015-2016 budget

58. Purchase - U. T. Southwestern Medical Center: Authorization to purchase one or more tracts of land located in an area bounded by St. Louis Avenue, West Magnolia Avenue, South Main Street, and West Rosedale Street, Fort Worth, Tarrant County, Texas, from multiple owners for the construction of future programmed campus expansion to include medical office buildings, clinical facilities, or other institutional facilities

Description: Purchase of one or more tracts within the area bounded by St. Louis Avenue, West Magnolia Avenue, South Main Street, and West Rosedale Street, Fort Worth, Tarrant County, Texas, for the construction of future medical office buildings, clinical facilities, or other institutional facilities; and authorization for the Executive Director of Real Estate to execute all documents, instruments, and other agreements, and to take all further actions deemed necessary or advisable to purchase the properties. This area is immediately to the east of the acquisition zone approved by the Board of Regents on August 21, 2014.

Seller: RTL Associates, LLC, Douglas J. Woodson, Delfina V. Herrera, John Rangel, Javier Garcia, Nemesio Herrera Est, Delfina Velasco Herrera, June E. Jones, Jim Dunnagan, V. K. Raj LP, Bert Williams, Christian Elbitar, Seeking God Holiness Church, Seeking God First Holiness Church, Tarrant Co. Hospital Dist., BVP Investments, Inc., Doris Johnson et al, Tiana Wages, Paul Nudleman Family Trust, Richard N. Claytor, Esmeralda Ontiveros et al, Kirby Head Teas Insurance, Larimar Development LP, Dwight J. Mitchell, Krus Farms LP, Impart Financial LLC, Sarkis J. Kechejian, MD

Purchase Price: Not to exceed fair market value as established by an independent appraisal

Source of Funds: Gifts and interest on Unrestricted Funds

59. Contract (funds coming in) - U. T. Medical Branch - Galveston: To administer the Texas Department of State Health Services (DSHS) Special Supplemental Nutrition Program for Women, Infants, and Children

Agency: Texas Department of State Health Services (DSHS)

Funds: \$7,558,192

Period: October 1, 2015 through September 30, 2016

Description: U. T. Medical Branch - Galveston will administer the DSHS Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) to provide supplemental food benefits, nutrition education, and counseling to enhance good health care at no cost to low-income pregnant and postpartum women, infants, and children identified to be at nutritional risk (DSHS Contract No. 2016-048789).

60. Contract (funds coming in) - U. T. Medical Branch - Galveston: To provide health care services to four Management & Training Corporation (MTC) - Texas Department of Criminal Justice (TDCJ) private prison facilities

Agency: U. T. Medical Branch - Galveston will be the subcontractor to Management & Training Corporation (MTC), contractor

Funds: \$8,340,000 per year

Period: December 1, 2015 through November 30, 2017, with option to renew for another two-year period

Description: U. T. Medical Branch - Galveston will provide health care services for inmates at four MTC-TDCJ private prison units: East Texas Treatment Facility, South Texas Intermediate Sanction Facility, West Texas Intermediate Sanction Facility, and Bridgeport Pre-parole Transfer Facility.

61. Contract (funds going out) - U. T. Medical Branch - Galveston: Carnes Funeral Home to provide mortuary and transport services

Agency: Carnes Funeral Home

Funds: Not to exceed \$3,500,000 for the initial term and all renewals

Source of Funds: Texas Department of Criminal Justice contracted funds

Period: January 1, 2016 through December 31, 2018, with two 12-month renewal options

Description: Carnes Funeral Home will provide mortuary and transport services to U. T. Medical Branch - Galveston upon the death of offenders in custody of the Texas Department of Criminal Justice. The supplier was selected through a competitive bid process.

62. Interagency Agreement (funds coming in) - U. T. Medical Branch - Galveston: Interagency agreement with Texas Tech University Health Sciences Center (TTUHSC) to provide pharmaceutical procurement and dispensing services for Texas Department of Criminal Justice (TDCJ) facilities operated by TTUHSC

Agency: Texas Tech University Health Sciences Center (TTUHSC)

Funds: Approximately \$28,200,000 for two-year agreement;
\$14,000,000 in Fiscal Year 2016 and
\$14,200,000 in Fiscal Year 2017

Period: September 1, 2015 through August 31, 2017

Description: U. T. Medical Branch - Galveston to provide certain pharmaceutical procurement and dispensing services for TTUHSC at TDCJ facilities for which TTUHSC is responsible. U. T. Medical Branch - Galveston agrees to provide required professional pharmacists who will perform distributive functions and formulary management, and administrative and accounting services related to the performance of this agreement.

63. Interagency Agreement (funds coming in) - U. T. Medical Branch - Galveston: Interagency Agreement with the County of El Paso to provide medical services to inmates of the El Paso Detention System

Agency: County of El Paso, Texas

Funds: \$5,920,000 Fiscal Year 2016;
\$6,030,000 Fiscal Year 2017;
\$6,150,000 Fiscal Year 2018;
\$6,280,000 Fiscal Year 2019; and
\$6,410,000 Fiscal Year 2020

Period: November 1, 2015 through October 31, 2017, and may be extended for three one-year renewal terms.

An option to renew may not cover more than one year each and the total period of this contract, including the primary term and all renewals, may not exceed a maximum combined period of five years.

Description: U. T. Medical Branch - Galveston to provide health care services by U. T. Medical Branch - Galveston Correctional Managed Care to inmates at the El Paso county jail facilities for Fiscal Years 2016 and 2017. This contract represents a broadening of U. T. Medical Branch - Galveston's Correctional Managed Care operation to include providing medical services to inmates at county jails in addition to ongoing services provided at Texas Department of Criminal Justice and Texas Juvenile Justice Department facilities.

64. Interagency Agreement (funds coming in) - U. T. Medical Branch - Galveston: Interagency agreement with the County of Burnet for the provision of and administration associated with primary care services and coordination of required hospital services to inmates of Burnet County

Agency: Burnet County, Texas

Funds: \$378,199 Fiscal Year 2016;
\$385,762 Fiscal Year 2017; and
\$393,477 Fiscal Year 2018;

Period: November 16, 2015 through November 15, 2017, with option to renew for a one-year period (November 16, 2017 through November 15, 2018)

Description: U. T. Medical Branch - Galveston to provide health care services for inmates of Burnet County jail including staff coverage for Sick Calls, Non-emergency Trauma Care, Pharmacy (including medicines), Physician Coverage (10 hours weekly), Onsite Nursing Coverage (8 hours daily, Mon.-Fri.), Onsite Dentist Coverage (4 hours weekly), Onsite Licensed Professional Counselor (4 hours weekly), and other covered services detailed in the agreement. This contract represents a broadening of U. T. Medical Branch - Galveston's Correctional Managed Care operation to include providing medical services to inmates at county jails in addition to ongoing services provided at Texas Department of Criminal Justice and Texas Juvenile Justice Department facilities.

65. Request for Budget Change - U. T. Medical Branch - Galveston: New Hires with Tenure -- amendment to the 2015-2016 budget

The following Requests for Budget Change (RBC) have been administratively approved by the Executive Vice Chancellor for Health Affairs and are recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
School of Medicine					
Biochemistry and Molecular Biology					
Associate Professor					
Eric J. Wagner (T)	8/1-8/31	100	12	155,000	7311
Professor					
Pei-Yong Shi (T)	10/15-8/31	100	12	360,000	7324

66. Request for Budget Change - U. T. Medical Branch - Galveston: Approval of Emeritus Title of Frederick A. Murphy from Professor to Professor Emeritus, Department of Pathology, in the School of Medicine (RBC No. 7250) -- amendment to the 2015-2016 budget

67. Purchase - U. T. Medical Branch - Galveston: Approval of campus expansion zone included in U. T. Medical Branch - Galveston, Facilities Master Plan, composed of the city blocks on either side of 6th Street from Market Street to Broadway Avenue and all city blocks between Harborside Drive and The Strand from 13th Street to 20th Street; and related authorization to purchase approximately 0.06 acre of land located at 617 Winnie Street, Galveston, Galveston County, Texas, from Maria Kantalis and Helen Lilienstern

Description: U. T. Medical Branch presented a Facilities Master Plan to the Board of Regents on February 5, 2010, as a report, but did not seek approval at that time. The institution is now seeking approval of that plan's proposed campus expansion zone composed of the city blocks on either side of 6th Street from Market Street to Broadway Avenue and all city blocks between Harborside Drive and The Strand from 13th Street to 20th Street. This approval will allow for the delegation of authority provided in Regents' *Rules and Regulations*, Rule 70301, Section 4, regarding real property.

U. T. Medical Branch also seeks authorization to purchase a 0.06 acre tract of land in the campus expansion zone, located at 617 Winnie Street, which is part of two tracts of land consisting of approximately 0.5 acres located at 709 University Boulevard, Galveston, Galveston County, Texas; and authorization for the Executive Director of Real Estate to execute all documents, instruments, and other agreements, and to take all further actions deemed necessary or advisable to purchase these properties.

Seller: Maria Kantalis and Helen Lilienstern

Purchase Price: Not to exceed fair market value as determined by an independent appraisal performed by Aguirre & Patterson, Inc.; appraisal confidential pursuant to *Texas Education Code* Section 51.951.

Source of Funds: Hospital Revenue

68. Request for Budget Change - U. T. Health Science Center - Houston: Tenure Appointment -- amendment to the 2015-2016 budget

The following Request for Budget Change (RBC) has been administratively approved by the Executive Vice Chancellor for Health Affairs and is recommended for approval by the U. T. System Board of Regents:

Description	Effective Date	% Time	Full-time Salary		RBC #
			No. Mos.	Rate \$	
School of Biomedical Informatics					
Precision Health Center					
Professor					
Zhongming Zhao (T)	1/1-8/31	100	12	\$329,000	7490

69. Request for Budget Change - U. T. Health Science Center - Houston: Approval of Emeritus Title of Raul Caetano from Regional Dean and Professor to Professor Emeritus, Department of Epidemiology, Human Genetics and Environment Sciences in the School of Public Health, Dallas Regional Campus (RBC No. 7423) -- amendment to the 2015-2016 budget

70. Contract (funds coming in and going out) - U. T. Health Science Center - San Antonio: Interagency Cooperation Contract with U. T. Rio Grande Valley to continue the University of Texas Health Science Center South Texas Clinical Education Track, Delivery System Reform Incentive Payment (DSRIP) projects and other South Texas Programs in the Rio Grande Valley

Agency: U. T. Rio Grande Valley

Source of Funds: State appropriation designated Delivery System Reform Incentive Payment (DSRIP)

Funds: Not to exceed \$11,531,474

Period: September 1, 2015 through August 31, 2016

Description: This contract is for services to continue the South Texas Clinical Education Track, DSRIP projects, and other programs in the Lower Rio Grande Valley. A portion of the payment, \$7,073,554, is contingent upon U. T. Rio Grande Valley meeting milestones under DSRIP projects associated with the Doctors Hospital at Renaissance.

71. Contract (funds going out) - U. T. M. D. Anderson Cancer Center: General Electric Company, by and through its GE Healthcare Division, to provide maintenance services for diagnostic imaging equipment

Agency: General Electric Company, by and through its GE Healthcare Division

Funds: The total cost of goods and services under this agreement, including all renewals, will not exceed \$65,000,000.

Source of Funds: Hospital Patient Income

Period: The term of this agreement will be for a period of 96 months, commencing on December 1, 2015, and continuing through November 30, 2023. The agreement includes the option for three 12-month renewals.

Description: GE Healthcare Division will provide maintenance and repair services for specified GE Healthcare equipment used by the institution. This agreement is for maintenance and repair of GE equipment that U. T. M. D. Anderson has purchased. Due to the specialized nature of the equipment, the availability of trained service technicians, parts, and diagnostic software is not yet on the open market with another service provider. Accordingly, this agreement was sole sourced to ensure that parts and service can be obtained in a timely manner.

72. Contract (funds going out) - U. T. M. D. Anderson Cancer Center: Hungry Heart Media, Inc., dba Wondros, to develop and produce advertising materials

Agency: Hungry Heart Media, Inc., dba Wondros

Funds: The total cost of services under this agreement, including all renewals, will not exceed \$11,852,147.

Source of Funds: Hospital Patient Income

Period: The term of this agreement will be for a period of 36 months, commencing on February 17, 2016, and continuing through February 16, 2019. The agreement includes the option for two 12-month renewals.

Description: Services provided by Hungry Heart Media, Inc. will include creative concept development, commercial filming, editing, photography, and other creative services to produce advertising campaign assets. This contract was competitively bid.

73. Contract (funds going out) - U. T. M. D. Anderson Cancer Center: Marion Montgomery, Inc. to develop and produce advertising materials as well as acquisition of regional media

Agency: Marion Montgomery, Inc.

Funds: The total cost of services under this agreement, including all renewals, will not exceed \$50,803,200.

Source of Funds: Hospital Patient Income

Period: The term of this agreement will be for a period of 36 months, commencing on February 17, 2016, and continuing through February 16, 2019. The agreement includes the option for two 12-month renewals.

Description: Services provided by Marion Montgomery, Inc. will include local and regional advertising media strategy, media buying, tracking, and measurement. This contract was competitively bid.

74. Contract (funds going out) - U. T. M. D. Anderson Cancer Center: The Richards Group, Inc. to develop and produce advertising materials as well as acquisition of regional and national media

Agency: The Richards Group, Inc.

Funds: The total cost of services under this agreement, including all renewals, will not exceed \$157,784,035.

Source of Funds: Hospital Patient Income

Period: The term of this agreement will be for a period of 36 months, commencing on February 17, 2016, and continuing through February 16, 2019. The agreement includes the option for two 12-month renewals.

Description: Services provided by The Richards Group, Inc. will include national advertising media strategy, media buying, tracking, and measurement. This contract was competitively bid.

75. Lease - U. T. M. D. Anderson Cancer Center: Authorization to sublease approximately 13,261 square feet of space located at 2130 Holcombe Boulevard, Houston, Harris County, Texas, to Immatic US, Inc. for medical research use

Description: Sublease of approximately 13,261 square feet of space located on the 11th floor of 2130 Holcombe Boulevard, Houston, Texas, for medical research use.

Lessee: Immatic US, Inc., a Delaware corporation

Term: Approximately 48 months, estimated to commence late Summer 2016.

Lease Income: Approximately \$1,375,829 in base rent and \$958,674 in estimated operating expenses payable over the 48-month initial term. The initial base rental rate is \$25 per square foot. Additionally, the Lessee shall pay to Lessor additional rent for furniture, fixtures, and equipment in the amount of \$399,850 and an administrative charge equal to 15% of the base rent and operating expenses.

76. Lease - U. T. M. D. Anderson Cancer Center: Authorization to ground lease approximately 87,120 square feet of unimproved land located at 3000 Corder Street, Houston, Harris County, Texas, to Halo House Foundation for the construction and operation by the tenant of a medium-term housing facility for cancer patients; and finding of public purpose

Description: Ground lease of approximately 87,120 square feet of unimproved land located at 3000 Corder Street, Houston, Harris County, Texas, to Halo House Foundation, a Texas nonprofit corporation (Halo House), for the construction and operation by the tenant of a medium-term housing facility for cancer patients.

Lessee: Halo House Foundation, a Texas nonprofit corporation

Term: 20 years, with an anticipated commencement date of June 1, 2017. Lessee will also have three 10-year extension options.

Lease Income: Rent is a nominal \$1 per year in exchange for the benefits to U. T. M. D. Anderson Cancer Center described below. The current value of the land is \$3,050,000 as established by an independent appraisal obtained by the Cancer Center dated December 17, 2015. The estimated market value of initial annual base rent for the premises is \$244,000 calculated at a yield of 8%. Lessee shall be responsible for all operating costs of the property during the term.

Public Purpose: The ground lease will limit the use of the premises to construction and operation of a low-cost patient lodging community facility serving primarily cancer patients in the Texas Medical Center and will terminate if such a facility is not constructed within a given period, permanently ceases operation, or is used for any other purpose.

The lease will also require that Halo House maintain a minimum threshold of cancer patients housed at the facility of eighty percent (80%) and provide monthly occupancy reports. If, for any calendar month during the Term, the proportion of cancer patients falls below this threshold, Lessee shall be obligated to pay market rent for such month.

U. T. M. D. Anderson Cancer Center has concluded that the facility would enable the Cancer Center to offer its services to more patients, especially low to moderate income patients, and assist the institution in pursuing the fulfillment of its mission “to eliminate cancer in Texas, the nation, and the world through outstanding programs that integrate patient care.” The ground lease to Halo House would serve the public purpose of low cost housing service to cancer patients in the Texas Medical Center, the majority of which patients are likely to be Cancer Center patients, although occupancy will not be restricted to Cancer Center patients. Nevertheless, the institution has concluded that its patients will be well represented in the facility. Staff at the Cancer Center therefore believes that the lease serves a public purpose specific to the mission of the institution and requests that the Board of Regents make a finding of fact to that effect and authorize the lease.

77. Lease - U. T. M. D. Anderson Cancer Center: Authorization to lease an approximately 155,000 square foot to-be-constructed building to be built on a site located at the southwest corner of State Highway 242 and Fellowship Drive, The Woodlands, Montgomery County, Texas, from The Woodlands Land Development Company, L.P., or a related entity for use as a regional care clinic

Description: Lease of approximately 155,000 square feet in a single-tenant medical clinic building to be constructed by Lessor at a site located at the southwest corner of State Highway 242 and Fellowship Drive, The Woodlands, Montgomery County, Texas, for relocation and expansion of a regional care clinic.

Lessor: The Woodlands Land Development Company, L.P., a Texas limited partnership, or a related entity

Term: The term commences on the date that Lessor substantially completes the construction of the project and continues for 20 years, plus two five-year renewal options. The estimated commencement date is July 1, 2018.

Lease Cost: The base rent will be calculated using a rent constant of 6.5% applied to the total project development cost (including the cost of land acquisition, hard and soft costs of construction, and financing costs). Based on preliminary plans and current construction cost estimates, the year one base rental rate would be \$25.30 per square foot per year and will escalate annually; the projected total lease cost will be approximately \$157,000,000 in base rent and estimated operating expenses over the initial 20-year term. Base rent for each of the renewal option periods will be 95% of the then-prevailing market rental rate. The Lessor is providing a tenant improvement allowance of \$50 per square foot; the institution will fund additional tenant improvements to the leased premises of up to \$150 per square foot.

Source of Funds: Patient revenue

78. Contract (funds coming in) - U. T. Health Science Center - Tyler: Reimbursement contract with the Texas Department of State Health Services to provide mental health services

Agency: Department of State Health Services (DSHS), an agency of the State of Texas

Funds: Not to exceed \$9,210,000

Period: September 1, 2015 through August 31, 2016

Description: U. T. Health Science Center - Tyler will provide residential behavioral health services for up to 30 individuals transferred to U. T. Health Science Center - Tyler from state mental health facilities and will provide acute behavioral health services for up to 14 individuals from a five-county area.

FACILITIES PLANNING AND CONSTRUCTION COMMITTEE

79. Contract (funds going out) - U. T. System: Multivista Systems, LLC to provide construction photo documentation on construction projects Systemwide as determined by each institution

Agency: Multivista Systems, LLC

Funds: Estimated to exceed \$1,000,000 over life of the contract, including renewal options

Source of Funds: Varies by institution

Period: September 1, 2015 through August 31, 2016; with the possibility of four one-year renewals

Description: Multivista Systems, LLC provides construction photo documentation and other related services such as web cams to document each phase of a construction project. Photos are used to refer back to installations and mechanical systems to assist with maintenance and future remodeling and construction. An institution may elect to use these services on any construction project, either managed locally by the institution or by the Office of Facilities Planning and Construction. Multivista Systems, LLC previously provided these services from May 2010 until August 2015. Multivista Systems, LLC was selected again through a competitive bid process initiated in June 2015.

TECHNOLOGY TRANSFER AND RESEARCH COMMITTEE

No items for Consent Agenda

**ADDITIONAL CONSENT AGENDA ITEM
ACADEMIC AFFAIRS COMMITTEE**

Lease - U. T. Tyler: Authorization to ground lease approximately 8.2 acres of unimproved land (as outlined on the attached aerial map) located on the south portion of the U. T. Tyler campus having frontage on University Drive, Tyler, Smith County, Texas, to one of the following entities: (i) Piedmont Pridon Government Group LLC, (ii) SMN LLC, (iii) PMRG Associates II, LP, or (iv) Duke Realty Corporation for the construction and operation of an approximately 48,425 usable square foot Department of Veterans Affairs (VA) clinic, which upon completion of construction will be subleased to the VA

- Description: Authorization for the Executive Director of Real Estate to execute the lease and all documents, instruments, or other agreements related to a ground lease of approximately 8.2 acres of unimproved land located on the U. T. Tyler campus having frontage on University Drive, Tyler, Smith County, Texas to one of the following entities: (i) Piedmont Pridon Government Group LLC, (ii) SMN LLC, (iii) PMRG Associates II, LP, or (iv) Duke Realty Corporation for the construction and operation of an approximately 48,425 usable square foot VA clinic which, upon completion of construction, ground lessee will sublease to the VA.
- Lessee: One of the following entities: (i) Piedmont Pridon Government Group LLC, a North Carolina limited liability company, (ii) SMN LLC, a Texas limited liability company, (iii) PMRG Associates II, LP, a Texas limited partnership, or (iv) Duke Realty Corporation, an Indiana corporation. The site was selected as a potential location by the VA, after which selection the institution issued a term sheet to potential lessees interested in developing the site and subleasing the facility to the VA. The institution will enter into a ground lease with the Lessee (or a single purpose entity created by Lessee approved by U. T. Tyler, the Executive Director of Real Estate and the VA) that is awarded the project by the VA.
- Term: Approximately 17 years, with an anticipated commencement date occurring on or before May 31, 2017. Lessee shall also have three 5-year extension options.
- Lease Income: Rent shall be the fair market rental value of the land as established by an independent appraisal. Lessee shall be responsible for all operating costs of the property during the term.

Aerial Depiction of Site

