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SEMI-ANNUAL CLAIMS ACTIVITY REPORTS: JANUARY 1, 2020 – JUNE 30, 2020

Action Requested: Receive the semi-annual claims activity reports for the period of January 1, 2020 through June 30, 2020.

Executive Summary: The semi-annual claims activity reports are designed to address eight categories of pending claims:

- (1) Lawsuits¹;
- (2) Tort and contract claims not yet lawsuits;
- (3) Complaints filed with administrative agencies other than workers' compensation claims;
- (4) Workers' compensation claims;
- (5) Internal discrimination complaints/investigations;
- (6) Faculty and Professional and Scientific (P&S) grievances and disciplinary measures;
- (7) Internal grievances/claims/investigations of contract-covered staff; and
- (8) Other matters which may be unique to the institution.

The institutions and the Board Office have submitted reports for each category and have prepared executive summaries highlighting significant issues, trends, areas for improvement and initiatives to address the identified problem areas. The executive summaries submitted by the institutions are attached to this memorandum.

¹ This category may include lawsuits in which multiple Regent institutions and/or the Board of Regents are named parties. These claims are included in the reports for each named party.

Office of the Board of Regents, State of Iowa

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to the Board Office for the January 1, 2020 through June 30, 2020 time period and compares those numbers to prior periods.

Type of Claim Pending	06/17	12/17	06/18	12/18	06/19	12/19	06/20
1. Litigation	4	4	2	2	1	0	1
2. Contract and Tort Claims	0	0	0	0	0	0	0
3. Administrative Agencies	0	0	0	0	0	0	0
4. Workers' Compensation	0	0	0	0	0	0	0
5. Internal Discrimination Complaints	0	0	0	0	0	0	0
6. Faculty and P&S Grievances & Discipline	0	0	0	0	0	0	0
7. Merit Grievances	0	0	0	0	0	0	0

1. Litigation

Developments, Trends and Reasons for Occurrence: During this reporting period one (1) new lawsuit was filed involving an administrative agency matter. No discernable trend has been identified.

University of Iowa

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to the University of Iowa for the January 1, 2020 through June 30, 2020 time period, and compares those numbers to prior periods.

Type of Claim Pending	06/17	12/17	06/18	12/18	06/19	12/19	06/20
1. Litigation	27	24	31	24	25	19	24
2. Contract and Tort Claims	33	25/31	21/6	17/14	25/5	27/4	27/3
3. Administrative Agencies	21	24	28	29	28	27	28
4. Workers' Compensation	827	738	810	774	794	838	638
5. Internal Discrimination Complaints	8	4	10	8	8	8	12
6. Faculty and P&S Grievances & Discipline	5	6	3	4	3	3	2
7. Merit Grievances	22	20	20	12	13	19	18
8. UIHC Tort Claims	18	30	29	22	21*	26	28
9. UIHC Lawsuits	26	30	31	25	29	25	24

1. Litigation

Developments, Trends and Reasons for Occurrence: Between January 1 and June 30, 2020, ten (10) were dismissed, settled or otherwise adjudicated during this period and will be deleted from the next report. Five (5) new lawsuits were filed during this period. As of June 30, 2020, there are twenty-four (24) pending lawsuits. No discernable trend can be identified.

2. Contract and Tort Claims

Developments, Trends and Reasons for Occurrence: During this reporting period, fifteen (15) claims were denied, withdrawn or settled and will be deleted from the next report. Eleven (11) new tort claims were filed during this period. As of June 30, 2020, there are three (3) pending tort claims. No discernible trend can be identified.

This report includes a listing of thirty (30) claims. During this period, five (5) contract claims were paid. Three (3) were filed. Zero (0) were amended. There are twenty-five (25) pending claims. No discernible trend can be identified.

3. Administrative Agencies

Developments, Trends and Reasons for Occurrence: Four (4) administrative agency claims were settled or administrative closed in this time period and six (6) new claims were filed. As of June 30, 2020, twenty-eight (28) were pending. No discernible trend can be identified.

4. Workers' Compensation Claims

Developments, Trends and Reasons for Occurrence: No discernable trend has been identified.

5. Internal Discrimination Complaints

Developments, Trends and Reasons for Occurrence: The number of pending cases during this reporting period is twelve (12). No discernable trend has been identified.

6. Faculty and P&S Grievances and Disciplinary Cases

Developments, Trends and Reasons for Occurrence: There are three (3) faculty, zero (0) P&S, three (3) SNAHP and zero (0) COGS grievances filed during this period. The number of active cases is two (2).

7. Merit Grievances

Developments, Trends and Reasons for Occurrence: There were six (6) grievances filed during this reporting period. The number of active cases is eighteen (18).

8. UIHC Tort Claims²

Developments, Trends and Reasons for Occurrence: During this period, three (3) tort claims were denied, withdrawn or settled and will be deleted from the next report. Two (2) of these tort claims have now been filed as lawsuits (and are also listed in that section of the report). Five (5) new tort claims were filed during this period. As of June 30, 2020, there are twenty-eight (28) pending tort claims.

9. UIHC Lawsuits

Developments, Trends and Reasons for Occurrence: Two (2) lawsuits were dismissed, settled or otherwise adjudicated during this period and will be deleted from the next report. Two (2) new lawsuits were filed during this period. As of June 30, 2020, there are twenty-four (24) pending lawsuits.

² Does not include small claims addressed by UIHC pursuant to a 28E Agreement with the Department of Justice. During this reporting period, no (0) 28E Agreement tort claim was settled directly by UIHC.

Iowa State University

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to Iowa State University for the January 1, 2020 through June 30, 2020 time period and compares those numbers to prior periods.

Type of Claim Pending	06/17	12/17	06/18	12/18	06/19	12/19	06/20
1. Litigation	19	17	20	16	15	10	10
2. Contract and Tort Claims	33	21	27	19	16	11	9
3. Administrative Agencies	10	10	9	10	9	8	8
4. Workers' Compensation	144	151	156	141	165	156	118
5. Internal Discrimination Complaints	18	16	8	15	15	7	2
6. Faculty and P&S Grievances & Discipline	17	8	11	14	8	9	14
7. Merit Grievances	24	19	16	1	1	0	0

1. Litigation

Developments, Trends and Reasons for Occurrence: In this reporting period, one (1) new lawsuit was filed, but has since been resolved in a favorable manner to ISU.

2. Contract and Tort Claims

Developments, Trends and Reasons for Occurrence: Five (5) tort claims pending at the close of this reporting period claim significant damages over \$100,000. There were no (0) contract claims pending at the end of this reporting period.

3. Administrative Agencies

Developments, Trends and Reasons for Occurrence: Two (2) new complaints were filed this period. Three (3) complaints are pending at the close of this reporting period.

4. Workers' Compensation Claims

Developments, Trends and Reasons for Occurrence: The number of claims for workers' compensation remains near the average.

5. Internal Discrimination Complaints

Developments, Trends and Reasons for Occurrence: There are zero (0) ongoing investigations against faculty and/or staff at the close of this reporting period.

6. Faculty and P&S Grievances and Disciplinary Cases

Developments, Trends and Reasons for Occurrence: Of the five (5) faculty matters, one (1) matter remains pending at the close of the reporting period. Nine (9) P&S disciplinary cases/grievances were pending during this reporting period.

7. Merit Grievances

Developments, Trends and Reasons for Occurrence: There were no (0) grievances active during this reporting period.

University of Northern Iowa

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to the University of Northern Iowa for the January 1, 2020 through June 30, 2020 reporting period, and compares those numbers to prior periods.

Type of Claim Pending	06/17	12/17	06/18	12/18	06/19	12/19	06/20
1. Litigation	6	3	3	5	5	6	6
2. Tort and Contract Claims	0	1	7	5	6	2	7
3. Administrative Agencies	3	3	2	2	1	2	1
4. Workers' Compensation	61	64	78	61	72	55	46
5. Internal Discrimination Complaints	12	10	13	15	18	22	11
6. Faculty & P&S Grievances & Discipline	1	0	0	0	2	1	1
7. Merit Grievances	5	2	2	0	1	44	42

1. Litigation

Developments, Trends and Reasons for Occurrence: The number of lawsuits has remained the same in comparison to the prior period. There are no apparent trends evidenced by the issues presented in the cases. One (1) of the five (5) cases involves all of the Regents universities.

2. Tort and Contract Claims

Developments, Trends and Reasons for Occurrence: The number of claims for the period increased in comparison to the immediately prior period. The number of claims is not inconsistent with periods prior to that time. No trends are identified or apparent by the number or types of these claims.

3. Administrative Agencies

Developments, Trends and Reasons for Occurrence: The number of complaints filed outside of the University, with administrative agencies, is consistent with prior periods. There are no trends evident in this category.

4. Workers' Compensation Claims

Developments, Trends and Reasons for Occurrence: The number of workers' compensation claims filed during the reporting period decreased slightly in comparison with the prior period(s). The number of claims is fairly consistent with prior periods or perhaps slightly lower. There are no readily apparent trends in the workers' compensation claims data.

5. Internal Discrimination Complaints/Investigations

Developments, Trends and Reasons for Occurrence: The number of complaints reflected in this category decreased from the prior periods. Some of that decrease may be related to the move to on-line classes in the spring. A number of the complaints relate to Title IX. The University continues to strive to handle these complaints in a timely and appropriate manner, and will continue to review this area and these types of cases for any indication of trends and/or need for changes or improvements.

6. Faculty and P&S Grievances and Disciplinary Cases

Developments, Trends and Reasons for Occurrence: The number of grievances or cases in this category remained the same in comparison to the prior period. The number of grievances is not large and is fairly consistent with prior periods. There is no trend or consistent issue reflected by the grievances in this category.

7. Merit Grievances

Developments, Trends and Reasons for Occurrence: The number of Merit employee grievances decreased from the prior period, but as noted in the last report, reflect a significant increase from the period prior to that. All of the grievances relate to the same issue. At this point, all of the outstanding grievances are currently being handled or considered in the BOR office. The University will continue to review grievances in this area for trends or other issues.

Iowa Braille and Sight Saving School

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to the Iowa Braille and Sight Saving School for the January 1, 2020 through June 30, 2020 time period, and compares those numbers to prior periods.

Type of Claim Pending	06/17	12/17	06/18	12/18	06/19	12/19	06/20
1. Litigation	0	0	0	0	0	0	0
2. Contract and Tort Claims	0	0	0	0	0	0	0
3. Administrative Agencies	0	0	0	0	0	0	0
4. Workers' Compensation	4	1	2	5	2	0	1
5. Internal Discrimination Complaints	0	0	0	0	0	0	0
6. Faculty and P&S Grievances & Discipline	0	0	0	0	0	0	0
7. Merit Grievances	0	0	0	0	0	0	0

4. Workers' Compensation

Developments, Trends and Reasons for Occurrence: IBSSS had one (1) workers compensation claims during this period. There were no (0) missed time claims during this period. Workers compensation claims continue to be low at IBSSS.

Iowa School for the Deaf

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to the Iowa School for the Deaf for the January 1, 2020 through June 30, 2020 time period, and compares those numbers to prior periods.

Type of Claim Pending	06/17	12/17	06/18	12/18	06/19	12/19	06/20
1. Litigation	0	0	0	0	0	0	0
2. Contract and Tort Claims	0	0	0	0	0	0	0
3. Administrative Agencies	0	2	1	0	0	0	0
4. Workers' Compensation	3	3	5	3	3	6	5
5. Internal Discrimination Complaints	0	0	0	0	0	0	0
6. Faculty and P&S Grievances & Discipline	0	0	0	0	0	0	0
7. Merit Grievances	0	0	0	0	0	0	0

4. Workers' Compensation

Developments, Trends and Reasons for Occurrence: ISD had five (5) workers compensation claims during this period. There were no (0) missed time claims during this period. Workers compensation claims continue to be low at Iowa School for the Deaf.