



**The University of Iowa
Office of Equal Opportunity and Diversity**

**Annual Report of Complaints Filed
Fiscal Year 2018**

Submitted by
Jennifer Modestou, SPHR
Director, Office of Equal Opportunity and Diversity

Office of Equal Opportunity and Diversity
202 Jessup Hall
Iowa City, IA 52242-1316
e-mail: diversity@uiowa.edu
(319) 335-0705 (telephone)
(319) 335-0697 (TDD)

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**THE UNIVERSITY OF IOWA
OFFICE OF EQUAL OPPORTUNITY AND DIVERSITY**

**ANNUAL REPORT OF COMPLAINTS FILED
FISCAL YEAR 2018**

I. Introduction

Established in 1972 as the University of Iowa Office of Affirmative Action, the Office of Equal Opportunity and Diversity supports the university's goals and aspirations as articulated in its 2016 – 2021 strategic plan by providing expert advice and services to ensure the university's compliance with applicable federal and state laws and regulations, as well as university and Board of Regents policies related to equal opportunity, affirmative action, nondiscrimination, and civil rights. Through the provision of a wide range of services to employees, managers, senior leaders, and students, the Office of Equal Opportunity and Diversity provides leadership and resources to support the university's goal to increase the diversity of the university's faculty, staff, and students and strives to foster a welcoming and collaborative university climate where individual ideas, contributions, and goals are acknowledged, respected, and valued.

The office serves as an entry point for the resolution and/or investigation of complaints of discrimination and harassment based upon race, creed, color, religion, national origin, age, sex, pregnancy, disability, genetic information, status as a U.S. veteran, service in the U.S. military, sexual orientation, gender identity, associational preference, or any other classification that deprives the person of consideration as an individual, pursuant to the following university policies:¹

- [Policy on Human Rights](#)
- [Policy on Sexual Harassment](#)
- [Policy on Consensual Relationships Involving Students](#)
- [Policy on Violence](#)
- [Anti-Harassment Policy](#)
- [Anti-Retaliation Policy](#)

Students, staff, and faculty are notified annually by email of these policies, as well as the [Policy on Sexual Misconduct, Dating/Domestic Violence, or Stalking Involving Students](#).

Our compliance specialists are trained attorneys who, serving as neutral investigators, investigate complaints brought by university community members and/or departmental or collegiate administrators. Our objective is to investigate complaints of discrimination and harassment in a fair and appropriate manner. Persons who feel they may have been discriminated against may seek assistance in resolving claims of disparate treatment either informally or formally.

Discrimination may be systemic, where unequal treatment results from seemingly neutral institutional practices that continue the effects of past discrimination, or individual, when a person is subject to unequal treatment on the basis of one of the legally protected categories

¹ The full text of these university policies is available at <http://diversity.uiowa.edu/eod/policies>

referenced above. In either case, the discriminatory act generally has the effect of denying a person fair consideration as an individual.

Any student, staff member, or faculty member may file a complaint with the Office of Equal Opportunity and Diversity alleging violation of any of these policies by any other member of the university community. Where appropriate, such complaints may be filed against units, departments, or other organizational components of the university.

Informal complaints are resolved by negotiation, conciliation, and, in some cases, unilateral remedies affecting the complainant only. The accused is notified of the charges only upon the consent of the complainant. No action may be taken against the accused unless he/she is notified of the charges and given an opportunity to respond. The formal resolution of complaints consists of notification of the accused and an opportunity to respond, full investigation of the charges, and written findings of fact and recommendations.

This report describes complaints filed with the Office of Equal Opportunity and Diversity (i.e., internal complaints), complaints filed with outside agencies such as the Iowa Civil Rights Commission (i.e., external complaints), and complaints of sexual harassment resolved within other academic and administrative units of the university. Section II describes educational programming offered by the Office of Equal Opportunity and Diversity. Section III lists University of Iowa resources where faculty, staff, and students may receive confidential information and advice. Section IV discusses the internal and external complaints filed over the past five years. Section V addresses in more detail the internal complaints filed in Fiscal Year 2018, while Section VI describes the external complaints filed during that year. Section VII discusses complaints of sexual harassment filed with the Office of Equal Opportunity and Diversity and with other academic and administrative units in Fiscal Year 2018.

Questions about this report may be directed during regular business hours (8:00 a.m. – 5:00 p.m.) to:

The University of Iowa
Office of Equal Opportunity and Diversity
202 Jessup Hall
Iowa City, IA 52242

Voice telephone: 319-335-0705
Text telephone: 319-335-0697
E-mail: diversity@uiowa.edu
Website: <https://diversity.uiowa.edu/office/equal-opportunity-and-diversity>

II. Educational Programming

The Chief Diversity Office's Diversity Resources Team (DRT) and Office of Equal Opportunity and Diversity (EOD) conduct educational programs on an ongoing basis on such topics as affirmative action, diversity, preventing sexual and other forms of harassment, gender and sexual identity, implicit bias, interviewing fairly, disability awareness, and the legal requirements of the Americans with Disabilities Act. During Fiscal Year 2018, DRT and EOD conducted 177 educational programs attended by over 5,300 individuals. Several of these programs were part of ongoing DRT series and initiatives, including Building University of Iowa Leadership for Diversity (BUILD), Safe Zone, Women's Leadership Initiative, Culturally Intelligent Leadership, Cup o' Justice, and NCBI (National Coalition Building Institute, a national nonprofit leadership training organization, of which the university is an affiliate).

We believe proactive education aids in fostering a climate that positively supports the careers, educational experience, and well-being of all members of the university community. In accordance with the university's Policy on Sexual Harassment and the Anti-Harassment Policy, EOD provides educational programs on these policies on a regular basis to supervisory and non-supervisory personnel. In addition to instructor-led courses, an online anti-harassment course is available to faculty and staff from the university's Employee Self Service website. The policies are also covered at orientation sessions for newly hired faculty and staff at UI Health Care.

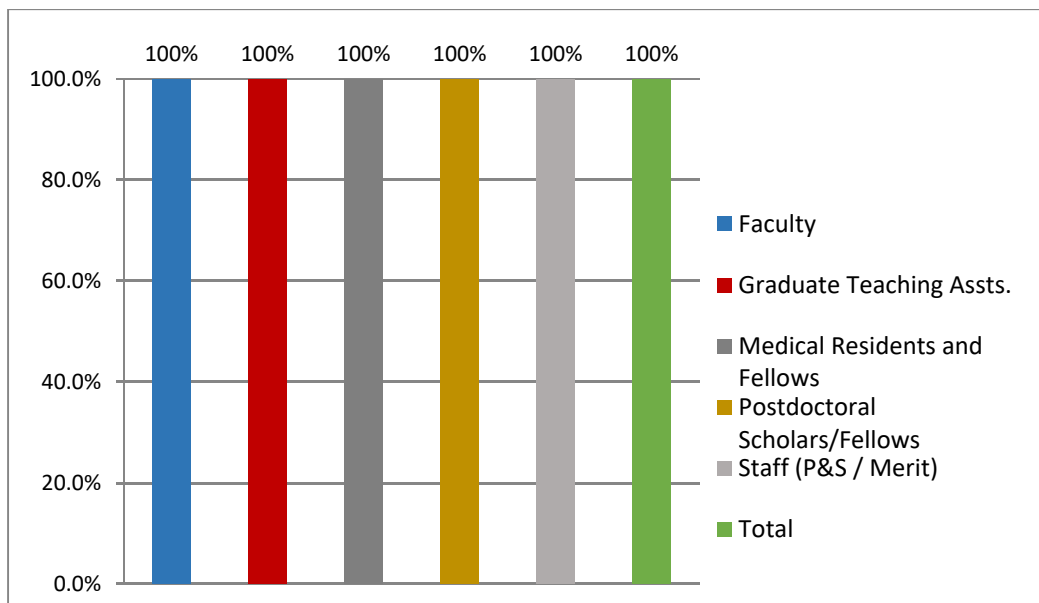
Per university policy, all regular faculty and staff appointed at 50% time or more, as well as graduate and undergraduate teaching assistants and undergraduate resident assistants employed by University Housing, are required to receive training on sexual harassment prevention within six months of hire and to complete a refresher course every three years thereafter. Additionally, all faculty and staff hired or promoted into positions defined by the [UI Policy on Sexual Harassment](#) as an academic or administrative officer (AAO)² are required to complete sexual harassment prevention education within the first two months of appointment.

During Fiscal Year 2018, a total of 8,256 individuals completed one of the approved harassment prevention courses; of these, 69 percent completed an online training and 31 percent attended in-person training. As of June 30, 2018, 100 percent of current covered employees were compliant with the mandate for periodic training on harassment prevention.

² AAOs include collegiate deans, including associate and assistant deans; faculty members with administrative responsibilities at the level of departmental executive officer or above; staff members whose primary job responsibility is academic advisement; faculty or staff members serving as directors or coordinators of undergraduate or graduate/professional studies or any departmental, collegiate, or university off-campus program; the president; the director of equal opportunity and diversity; the sexual misconduct response coordinator; vice presidents, including assistant and associate vice presidents; the provost; those person's designees; directors and supervisors in an employment context; and human resource representatives.

**Table 1 and Figure 1
Sexual Harassment Prevention Education Completion Rates as of June 30, 2018**

Employee Category	Completion Rate
Faculty	100.0%
Graduate Teaching Assistants	100.0%
Medical Residents and Fellows	100.0%
Postdoctoral Scholars/Fellows	100.0%
Staff	100.0%
Total	100.0%



III. Confidential Resources for Faculty, Staff, and Students

Members of the University of Iowa community may receive confidential information and advice from the following resources.

Office of the Ombudsperson
308 Jefferson Building
Phone: 335-3608
Website: <http://www.uiowa.edu/ombuds/>
E-mail: ombudsperson@uiowa.edu
Hours: M – F 8 a.m. to 5 p.m.

Women’s Resource and Action Center (WRAC)
Bowman House, 230 N. Clinton St.
Phone: 335-1486
Website: <http://wrac.uiowa.edu/>
E-mail: wrac@uiowa.edu
Hours: M – F 9 a.m. to 5 p.m.

Rape Victim Advocacy Program (RVAP)
332 S. Linn Street, Suite 100
Business Phone: 335-6001
Rape Crisis Line: 335-6000 (24 hours/day)
or 800-228-1625 (24 hours/day)
Website: <http://rvap.uiowa.edu/>
E-mail: rvap@uiowa.edu
Hours: M – F 9 a.m. to 5 p.m.

For faculty and staff:

Faculty and Staff Services/Employee Assistance Program
121-50 USB
Phone: 335-2085
Website: <http://hr.uiowa.edu/ueap/>
E-mail: eaphelp@uiowa.edu
Hours: M – F 8 a.m. to 5 p.m.

For students:

University Counseling Service
Eastside: University Capitol Center Suite 1950
Westside: 3223 Westlawn S.
Phone: 335-7294
Website: <http://counseling.studentlife.uiowa.edu/>
Hours: M – F 8 a.m. to 5 p.m.

IV. Internal and External Complaints, Fiscal Years 2014 - 2018

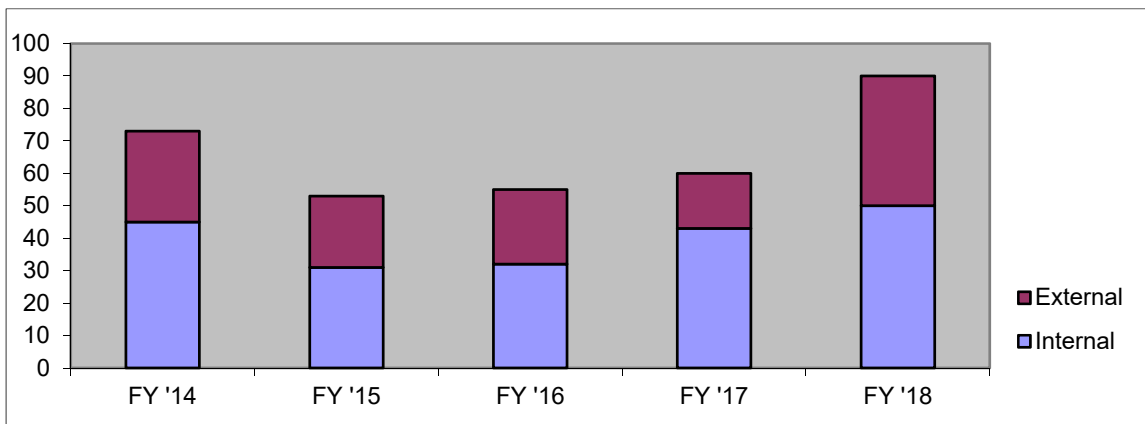
A. Number of Complaints Filed

During Fiscal Year 2018 (July 1, 2017 – June 30, 2018), 66 complainants filed a total of 90 complaints alleging violation of University of Iowa policies with the Office of Equal Opportunity and Diversity (EOD) or with external agencies. This total represents a 50 percent increase over the number of complaints filed during the previous fiscal year and a 23 percent increase over the number of complaints filed in Fiscal Year 2014.

Table 2 and Figure 2 below show the number of internal and external complaints filed over the past five years. Internal complaints include both formal and informal complaints.³

**Table 2 and Figure 2
Number of Internal and External Complaints Filed, Fiscal Years 2014 - 2018**

Category	FY '14	FY '15	FY '16	FY '17	FY '18	Total, FYs '14 '18
Internal Complaints (filed with EOD)	45 62 %	31 58 %	32 58 %	43 72 %	50 56 %	201 61 %
External Complaints (filed with outside agencies)	28 38 %	22 42 %	23 42 %	17 28 %	40 44 %	130 39 %
Total	73	53	55	60	90	331



B. Bases of the Complaints

The 90 complaints in FY 2018 were based on 162 allegations of discrimination, harassment, or other policy violations. The most prevalent allegations were of sexual harassment/sexual assault (23 complaints, up 35 percent from 17 complaints), race discrimination (23 complaints, up 35 percent from 17 complaints), retaliation (22 complaints, up 100 percent from 11 complaints), age discrimination (21 complaints, up 163 percent from 8 complaints), and sex discrimination (20 complaints, up 233 percent from 6 complaints).

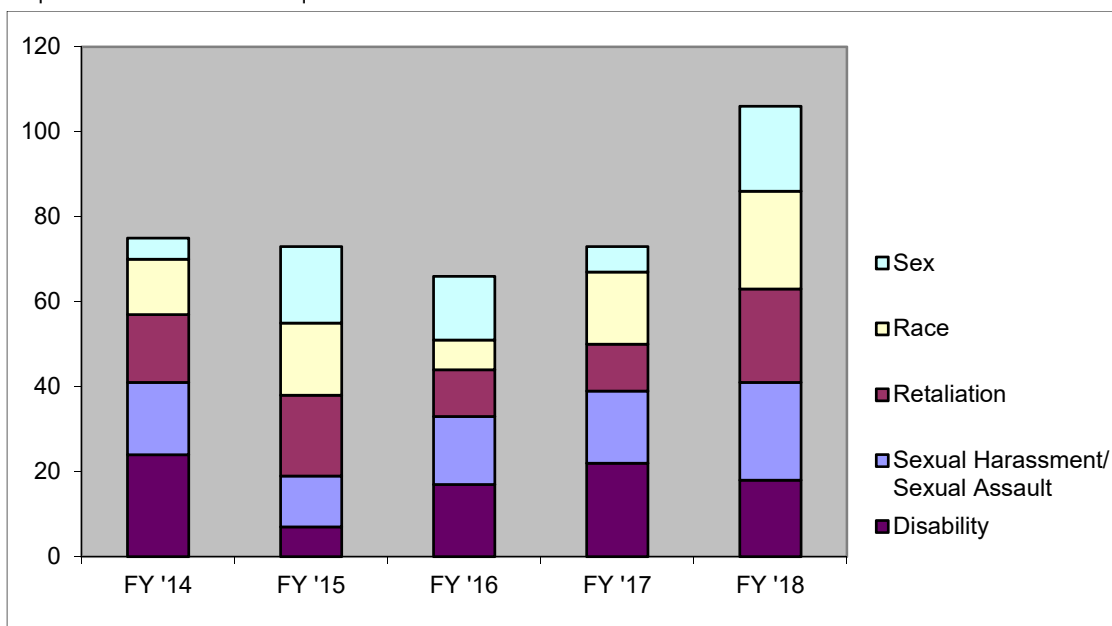
Table 3 and Figure 3 describe the bases of complaints filed in the last five years.

³ See page 2 for a description of the differences between formal and informal complaints.

**Table 3 and Figure 3
Bases of Internal and External Complaints, Fiscal Years 2014 - 2018**

Basis	FY '14	FY '15	FY '16	FY '17	FY '18	Total, FYs '14 '18
Disability	24	7	17	22	18	88
Sexual Harassment/Sexual Assault	17	12	16	17	23	85
Retaliation	16	19	11	11	22	79
Race	13	17	7	17	23	77
Sex	5	18	15	6	20	64
Age	8	6	9	8	21	52
Harassment	6	13	9	14	5	47
National Origin	9	5	12	4	10	40
Sexual Orientation	6	12	5	9	6	38
Religion	1	5	0	0	5	11
Consensual Relationships	3	1	4	2	1	11
Violence	3	2	1	3	1	10
Pregnancy	0	3	6	0	0	9
Gender Identity	0	0	1	1	3	5
General Unfair Hiring Practices *	2	2	0	0	0	4
Veteran Status	0	0	0	0	2	2
Associational Preference	1	0	0	0	1	2
No Legally Protected Basis	2	0	0	0	0	2
Stalking	0	0	0	0	1	1
Other	1	0	0	0	0	1
Total	117	122	113	114	162	628

* Includes instances where complainants believe they did not receive a job or promotion due to unfair treatment or inadequate consideration of their qualifications.



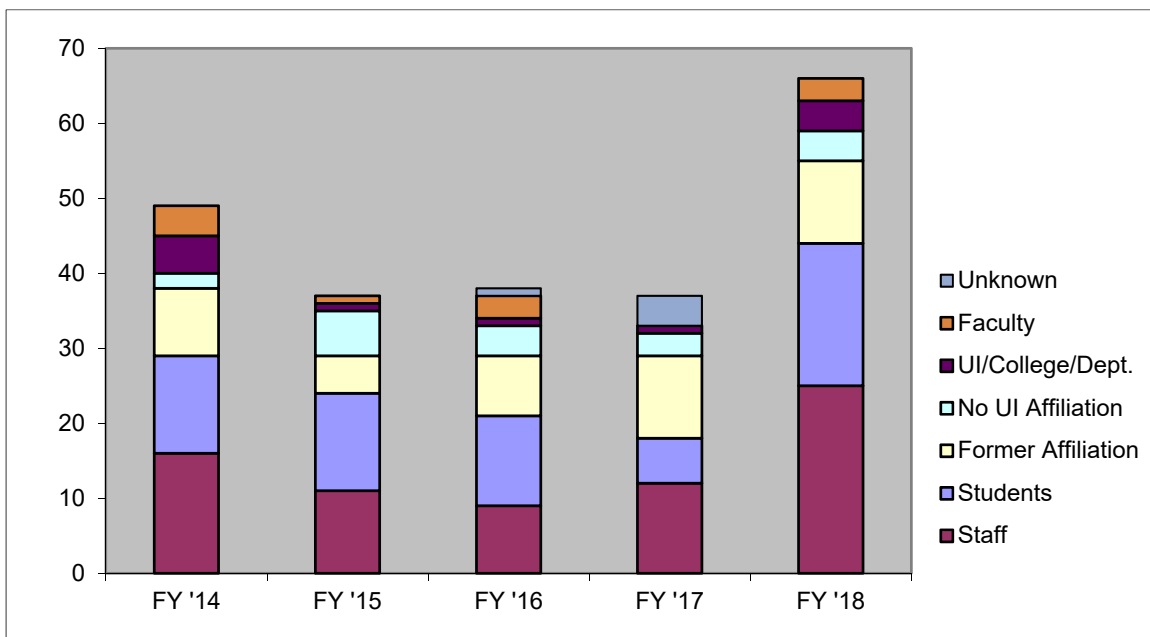
C. Complainant Characteristics

Complainant Status. Sixty-six complainants filed complaints during FY 2018. Staff comprised the largest group of complainants (25), followed by students (19) and individuals with a former affiliation with the university (11). Table 4 and Figure 4 below summarize the status of the complainants in internal and external complaints during the last five fiscal years.

**Table 4 and Figure 4
Status of Complainants, Internal and External Complaints, FYs 2014 – 2018**

Status of Complainants	FY '14	FY '15	FY '16	FY '17	FY '18	Total, FYs '14 '18
Staff	16	11	9	12	25	73
Students	13	13	12	6	19	63
Former Affiliation with the University of Iowa	9	5	8	11	11	44
No Affiliation with the University of Iowa	2	6	4	3	4	19
University/College/Dept.	5	1	1	1	4	12
Faculty	4	1	3	0	3	11
Unknown	0	0	1	4	0	5
Total	49	37	38*	37	66	227

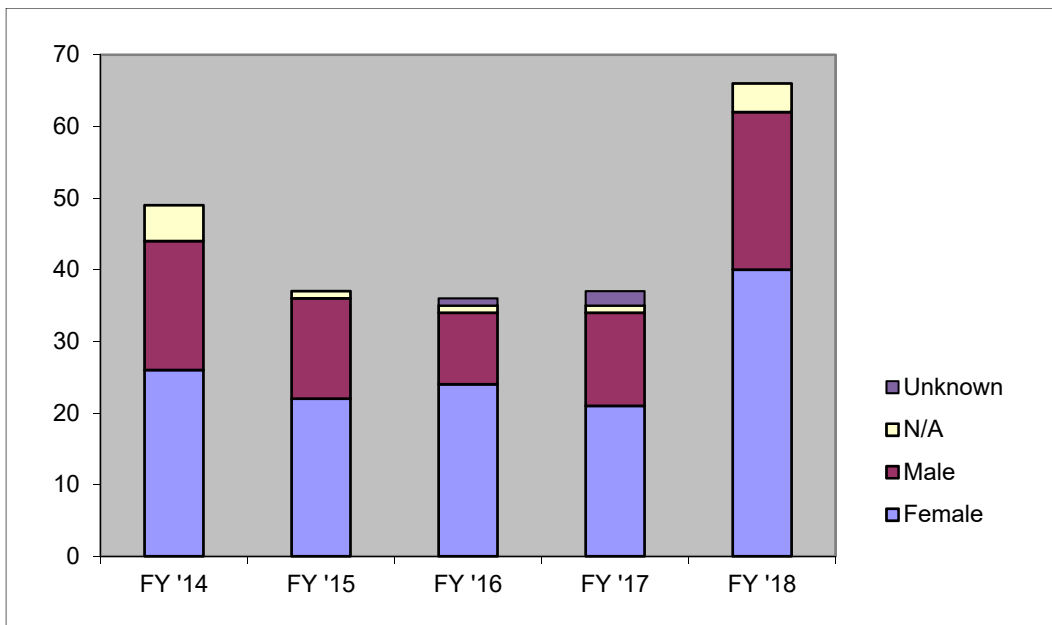
* Complainants who filed multiple complaints and whose status changed between filings are counted in each applicable status category; i.e., these complainants are counted in multiple categories in the table above, so the total count of complainants' statuses is higher than the number of distinct complainants.



Complainant Sex. Table 5 and Figure 5 below present the sex of the complainants in the internal and external complaints over the past five fiscal years.

**Table 5 and Figure 5
Sex of Complainants, Internal and External Complaints, FYs 2014 - 2018**

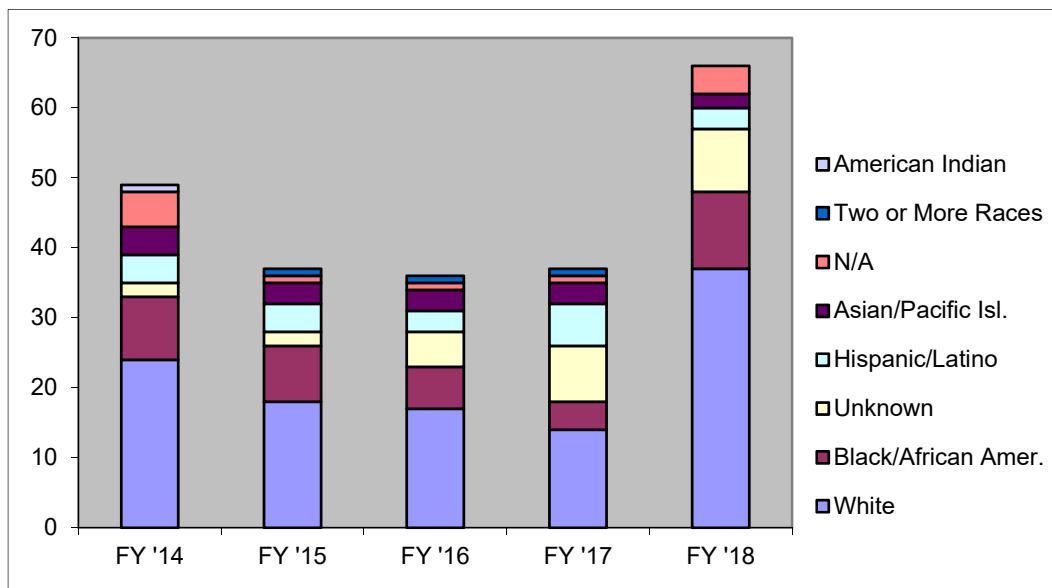
Sex of Complainants	FY '14	FY '15	FY '16	FY '17	FY '18	Total, FYs '14 '18
Female	26	22	24	21	40	133
Male	18	14	10	13	22	77
N/A (University/College/Dept.)	5	1	1	1	4	12
Unknown	0	0	1	2	0	3
Total	49	37	36	37	66	225



Complainant Race/Ethnicity. Table 6 and Figure 6 below present the race/ethnicity of the complainants in the internal and external complaints over the past five fiscal years.

**Table 6 and Figure 6
Race/Ethnicity of Complainants, Internal and External Complaints, FYs 2014 - 2018**

Race/Ethnicity of Complainants	FY '14	FY '15	FY '16	FY '17	FY '18	Total, FYs '14 '18
White	24	18	17	14	37	110
Black/African American	9	8	6	4	11	38
Unknown Race/Ethnicity	2	2	5	8	9	26
Hispanic/Latino	4	4	3	6	3	20
Asian/Pacific Islander	4	3	3	3	2	15
N/A (University/College/Dept.)	5	1	1	1	4	12
Two or More Races	0	1	1	1	0	3
American Indian/Alaska Native	1	0	0	0	0	1
Total	49	37	36	37	66	225

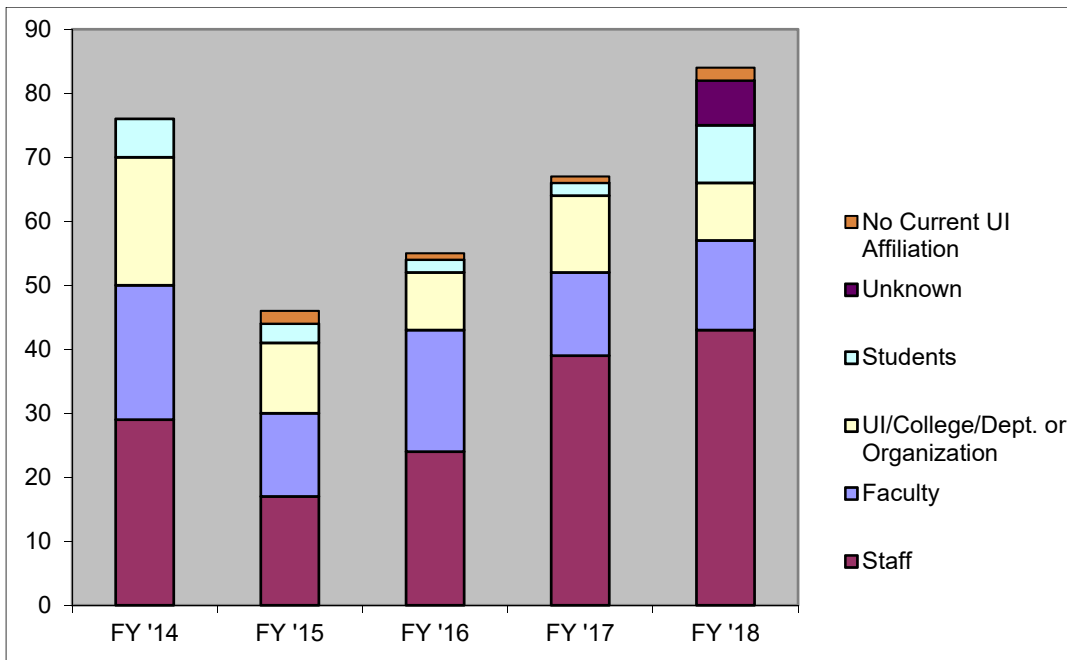


D. Respondent Characteristics

Respondent Status. There were 84 respondents to internal and external complaints in FY 2018. Table 7 and Figure 7 below present the status of the respondents in the internal and external complaints over the past five fiscal years.

Table 7 and Figure 7
Status of Respondents, Internal and External Complaints, FYs 2014 - 2018

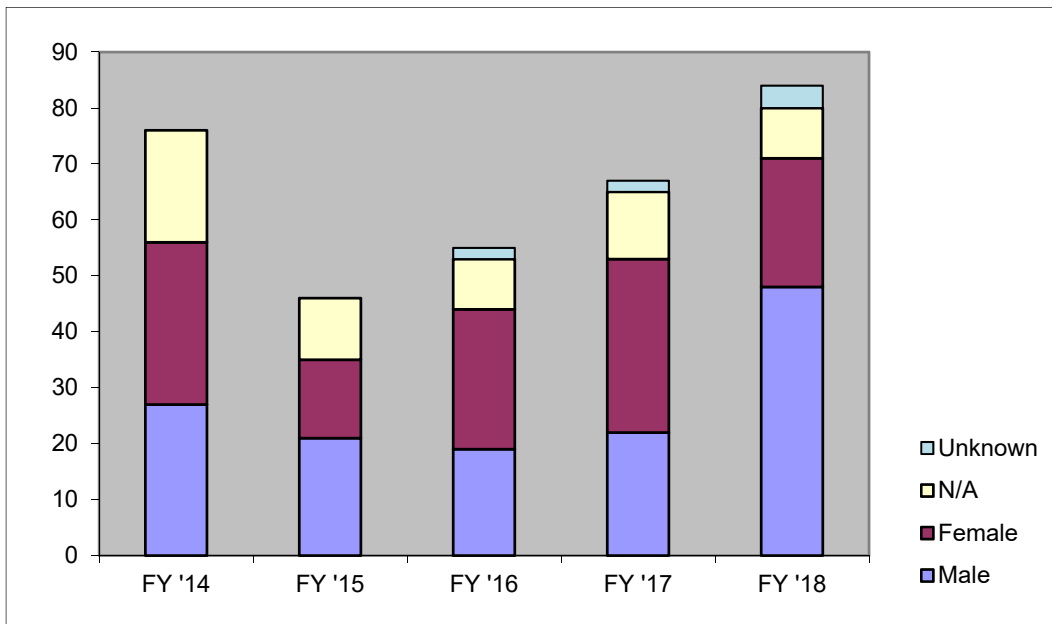
Status of Respondents	FY '14	FY '15	FY '16	FY '17	FY '18	Total, FYs '14 '18
Staff	29	17	24	39	43	152
Faculty	21	13	19	13	14	80
University/College/Dept. or Organization	20	11	9	12	9	61
Students	6	3	2	2	9	22
Unknown	0	0	0	0	7	7
No Current UI Affiliation	0	2	1	1	2	6
Total	76	46	55	67	84	328



Respondent Sex. Table 8 and Figure 8 below present the sex of the respondents in the internal and external complaints over the past five fiscal years.

**Table 8 and Figure 8
Sex of Respondents, Internal and External Complaints, FYs 2014 - 2018**

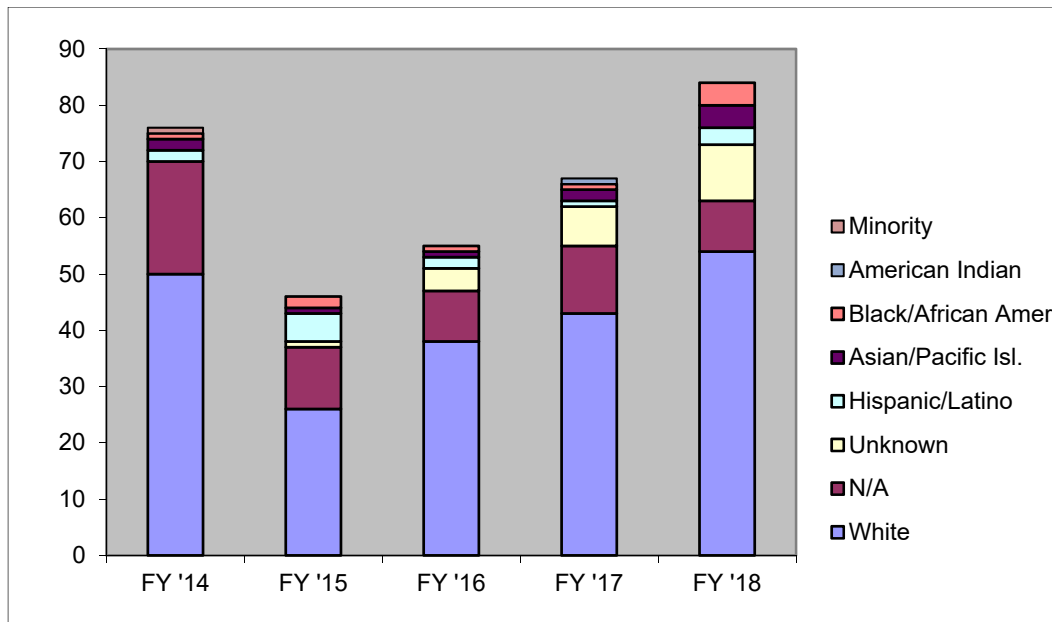
Sex of Respondents	FY '14	FY '15	FY '16	FY '17	FY '18	Total, FYs '14 '18
Male	27	21	19	22	48	137
Female	29	14	25	31	23	122
N/A (University/ College/ Dept. or subcontractor)	20	11	9	12	9	61
Unknown	0	0	2	2	4	8
Total	76	46	55	67	84	328



Respondent Race/Ethnicity. Table 9 and Figure 9 below present the race/ethnicity of the respondents in the internal and external complaints over the past five fiscal years.

**Table 9 and Figure 9
Race/Ethnicity of Respondents, Internal and External Complaints, FYs 2014 - 2018**

Race/Ethnicity of Respondents	FY '14	FY '15	FY '16	FY '17	FY '18	Total, FYs '14 '18
White	50	26	38	43	54	211
N/A (University/ College/ Dept. or subcontractor)	20	11	9	12	9	61
Unknown Race/Ethnicity	0	1	4	7	10	22
Hispanic/Latino	2	5	2	1	3	13
Asian/Pacific Islander	2	1	1	2	4	10
Black/African American	1	2	1	1	4	9
American Indian/Alaska Native	0	0	0	1	0	1
Minority (Unspecified Race/Ethnicity)	1	0	0	0	0	1
Total	76	46	55	67	84	328



E. Resolution of the Complaints

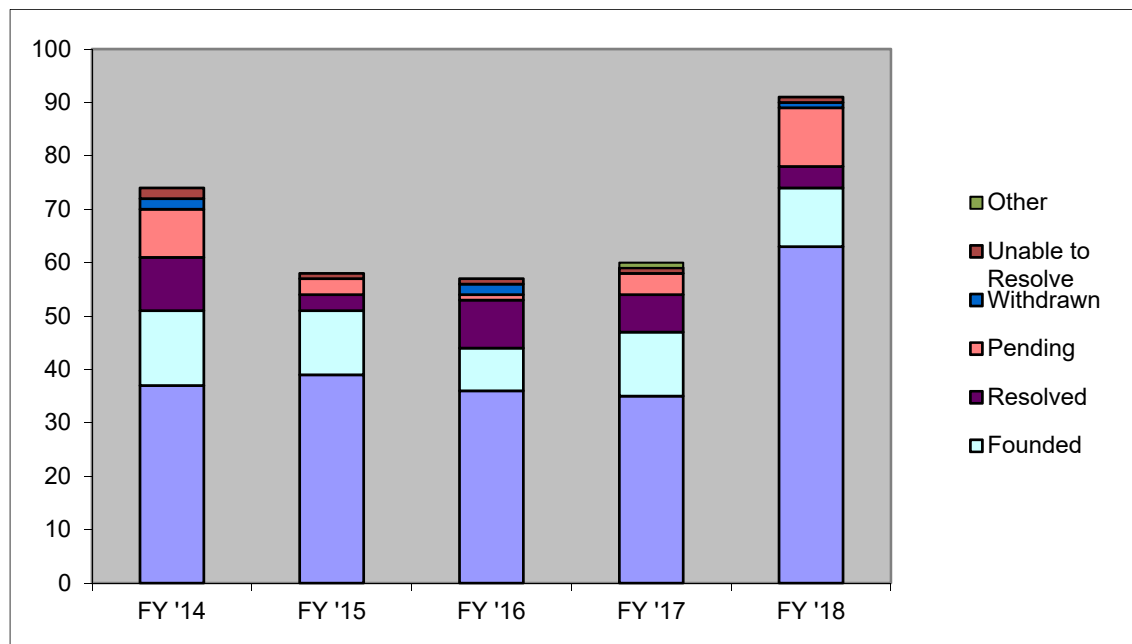
Table 10 and Figure 10 summarize the resolutions of the internal and external complaints for Fiscal Years 2014 - 2018 (as of June 5, 2019). Complaints resulting in split findings (e.g., founded as to one charge and unfounded as to another, or founded as to one respondent and unfounded as to another) are counted in both the “founded” and “unfounded” categories.

Table 10 and Figure 10
Resolution of Complaints, Internal and External Complaints, FYs 2014 - 2018

Resolution (as of June 5, 2019)	FY '14	FY '15	FY '16	FY '17	FY '18	Total, FYs '14 '18
Unfounded/ Dismissed/ Administratively Closed/ No Probable Cause	37	39	36	35	63	210
Founded/Probable Cause	14	12	8	12	11	57
Resolved/Settled/ Agreement to Resolve	10	3	9	7	4	33
Pending *	9	3	1	4	11	28
Withdrawn/Not Pursued	2	0	2	0	1	5
Unable to Reach Informal Resolution **	2	1	1	1	1	6
Other	0	0	0	1	0	1
Total	74	58	57	60	91	340

* All pending complaints were filed with external agencies.

** For informal complaints; see page 2 for a description of the differences between informal and formal complaints.



V. Internal Complaints, Fiscal Year 2018

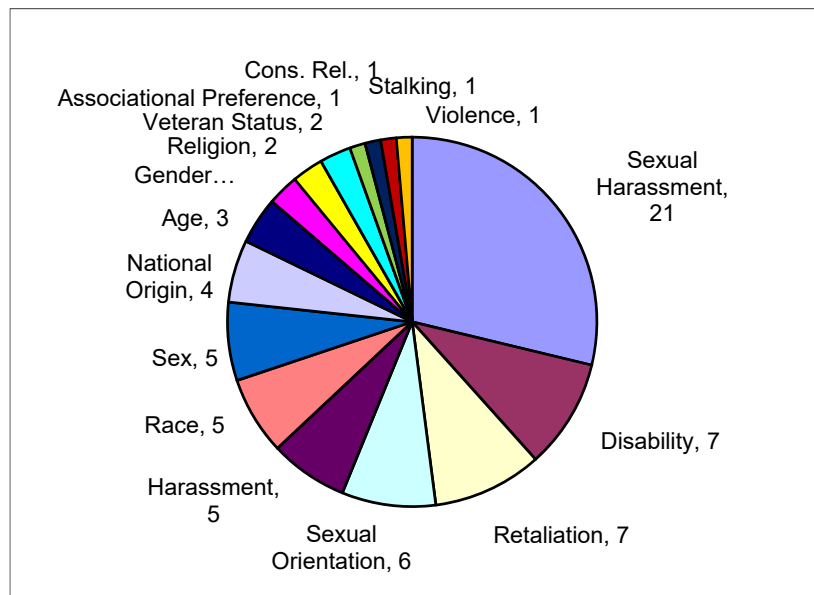
This section describes internal complaints filed with the Office of Equal Opportunity and Diversity in FY 2018.

A. Bases of the Complaints

The 50 internal complaints filed in FY 2018 were based on 73 allegations of violation of university policies. Table 11 and Figure 11 below provide a summary of the bases. The most prevalent allegations were of sexual harassment/sexual assault⁴ (21 complaints), disability discrimination (7 complaints), retaliation (7 complaints), and sexual orientation discrimination (6 complaints).

Table 11 and Figure 11: Bases of Internal Complaints, Fiscal Year 2018

Basis	Number	Percent	Basis	Number	Percent
Sexual Harassment/Sexual Assault ³	21	29 %	Age	3	4 %
Disability	7	10 %	Gender Identity	2	3 %
Retaliation	7	10 %	Religion	2	3 %
Sexual Orientation	6	8 %	Veteran Status	2	3 %
Harassment	5	7 %	Associational Preference	1	1 %
Race	5	7 %	Consensual Relationships Involving Students	1	1 %
Sex	5	7 %	Stalking	1	1 %
National Origin	4	5 %	Violence	1	1 %
Total		73			



⁴ For further information about sexual harassment complaints, see Section VII of this report.

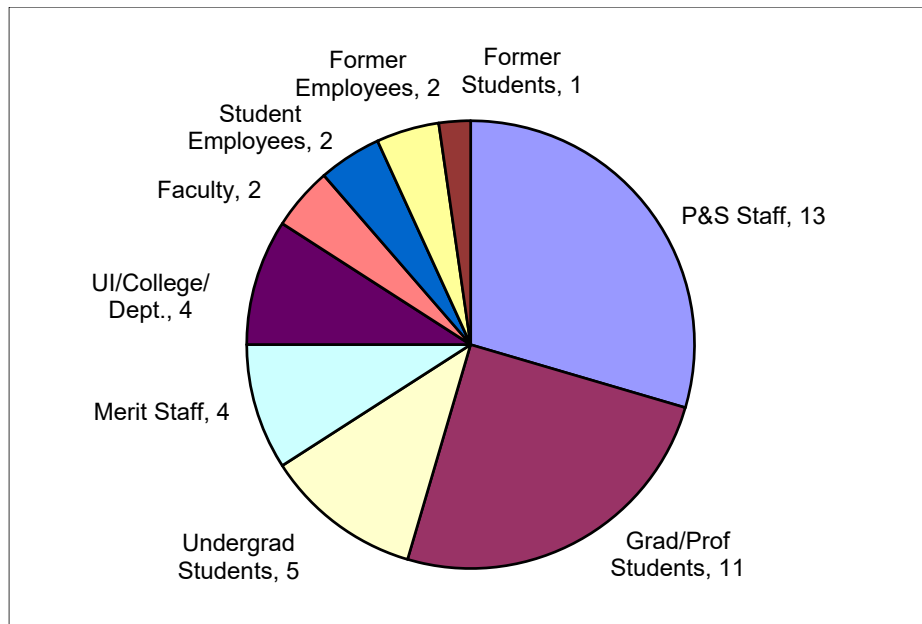
B. Complainant Characteristics

In FY 2018, 44 complainants filed internal complaints; one of these complainants also filed external complaints.

Complainant Status. Professional and scientific staff (13 complainants), graduate/professional students (11 complainants), and undergraduate students (5 complainants) comprised the largest groups of complainants. Table 12 and Figure 12 below provide the status of the complainants in the internal complaints.

**Table 12 and Figure 12
Status of Complainants, Internal Complaints, Fiscal Year 2018**

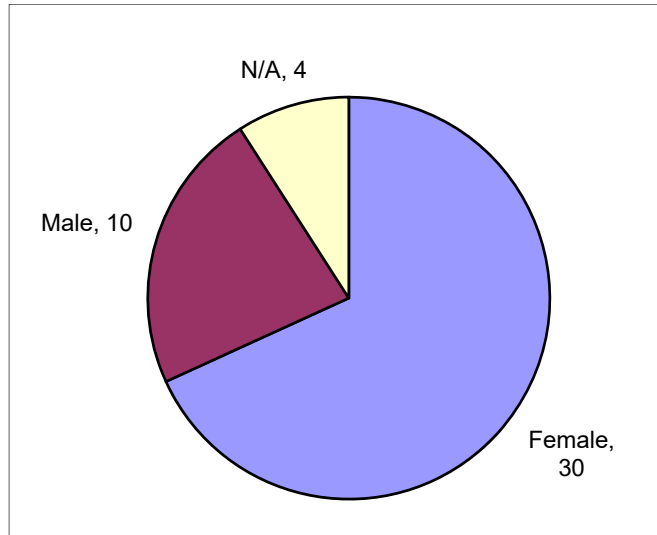
Status of Complainants	Number	Percent
Professional & Scientific Staff	13	30 %
Graduate/Professional Students	11	25 %
Undergraduate Students	5	11 %
Merit Staff	4	9 %
University/College/Dept.	4	9 %
Faculty	2	5 %
Student Employees	2	5 %
Former Employees	2	5 %
Former Students	1	2 %
Total	44	



Complainant Sex. Table 13 and Figure 13 below provide the sex of the complainants in the internal complaints.

Table 13 and Figure 13
Sex of Complainants, Internal Complaints, Fiscal Year 2018

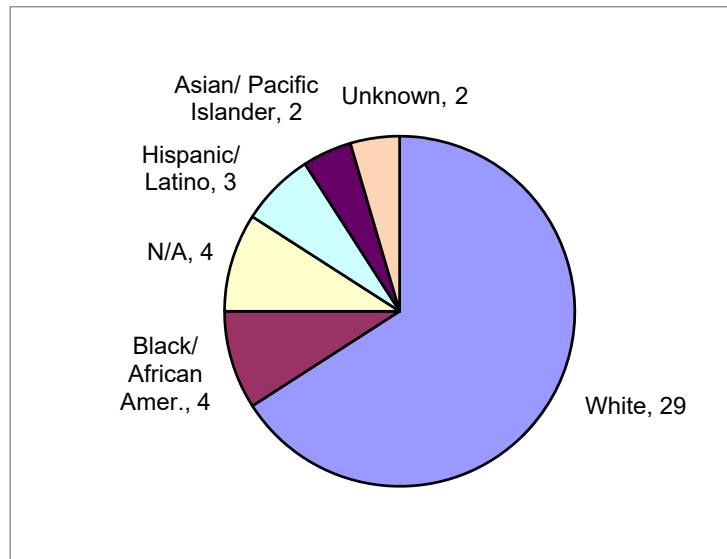
Sex of Complainants	Number	Percent
Female	30	68 %
Male	10	23 %
N/A (University/College/Dept.)	4	9 %
Total	44	



Complainant Race/Ethnicity. Table 14 and Figure 14 below show the race/ethnicity of the complainants in the internal complaints in FY 2018.

**Table 14 and Figure 14
Race/Ethnicity of Complainants, Internal Complaints, Fiscal Year 2018**

Race/Ethnicity of Complainants	Number	Percent
White	29	66 %
Black/African American	4	9 %
N/A (University/College/Dept.)	4	9 %
Hispanic/Latino	3	7 %
Asian/Pacific Islander	2	5 %
Unknown Race/Ethnicity	2	5 %
Total	44	

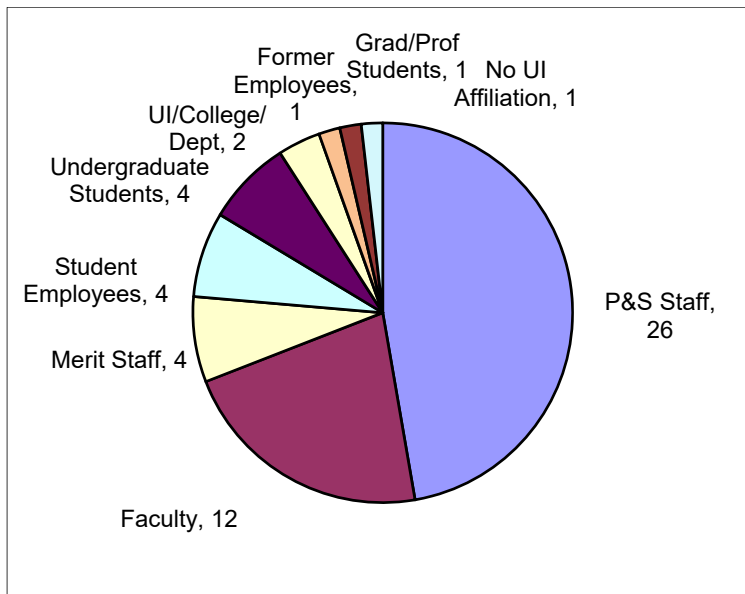


C. Respondent Characteristics

Respondent Status. Table 15 and Figure 15 below indicate the status of the respondents in the internal complaints.

**Table 15 and Figure 15
Status of Respondents, Internal Complaints, Fiscal Year 2018**

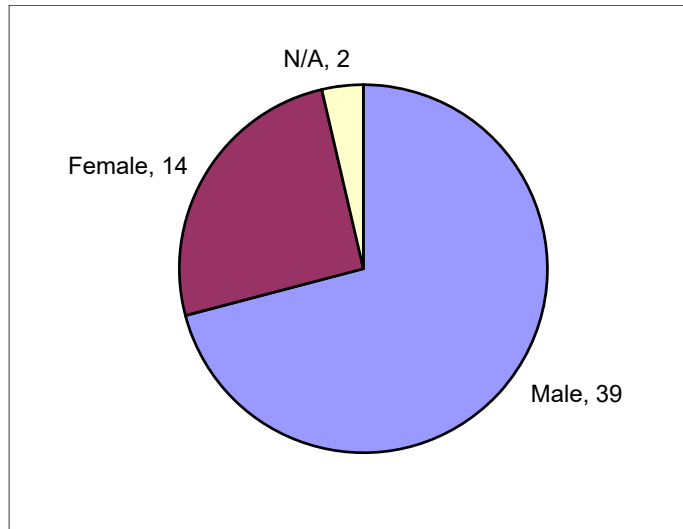
Status of Respondents	Number	Percent
Professional & Scientific Staff	26	47 %
Faculty	12	22 %
Merit Staff	4	7 %
Student Employees	4	7 %
Undergraduate Students	4	7 %
University/College/Department	2	4 %
Former Employees	1	2 %
Graduate/Professional Students	1	2 %
No UI Affiliation	1	2 %
Total	55	



Respondent Sex. Table 16 and Figure 16 below provide the sex of the respondents in the internal complaints during FY 2018.

**Table 16 and Figure 16
Sex of Respondents, Internal Complaints, Fiscal Year 2018**

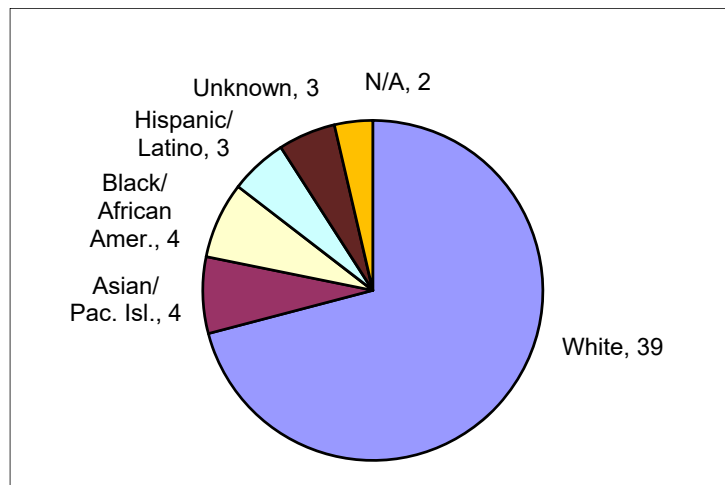
Sex of Respondents	Number	Percent
Male	39	71 %
Female	14	25 %
N/A (University/College/Dept.)	2	4 %
Total	55	



Respondent Race/Ethnicity. Table 17 and Figure 17 below indicate the race/ethnicity of the respondents in the internal complaints during FY 2018.

**Table 17 and Figure 17
Race/Ethnicity of Respondents, Internal Complaints, Fiscal Year 2018**

Race/Ethnicity of Respondents	Number	Percent
White	39	71 %
Asian/Pacific Islander	4	7 %
Black/African American	4	7 %
Hispanic/Latino	3	5 %
Unknown Race/Ethnicity	3	5 %
N/A (University/College/Department)	2	4 %
Total	55	

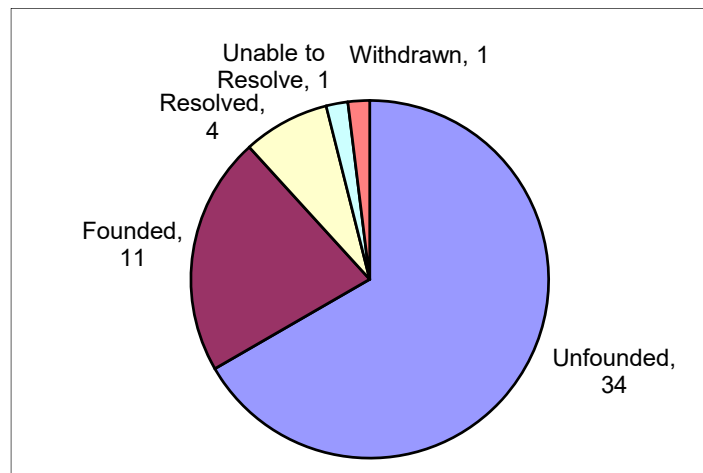


D. Resolution of the Complaints

Table 18 and Figure 18 illustrate the status of the 50 internal complaints. Complaints resulting in split findings (e.g., founded as to one charge and unfounded as to another, or founded as to one respondent and unfounded as to another) are counted in each of the applicable categories.

Table 18 and Figure 18
Resolution of the Internal Complaints, Fiscal Year 2018

Resolution	Number	Percent
Unfounded	34	67 %
Founded	11	22 %
Resolved	4	8 %
Unable to Resolve	1	2 %
Withdrawn	1	2 %
Total	51	



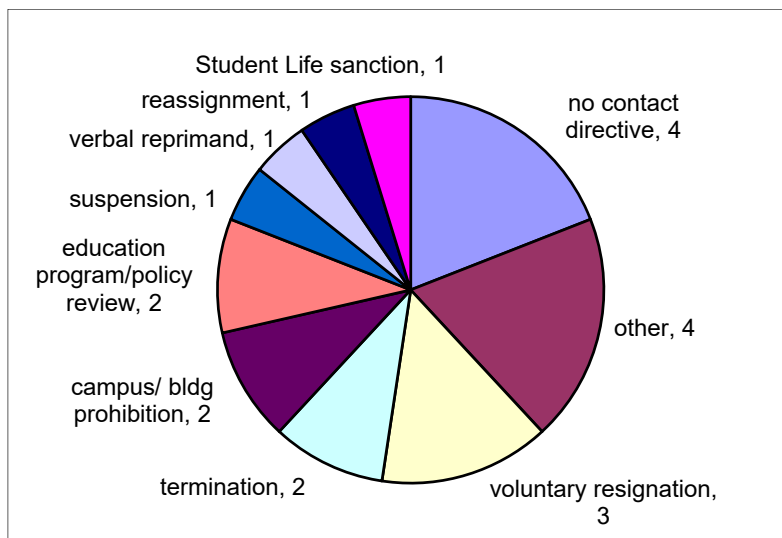
E. Discipline/Action Taken

As noted above, 11 of the internal complaints in Fiscal Year 2018 were determined to be founded, i.e., there was a reasonable basis to believe a violation of university policy had occurred. Allegations in these complaints that were determined to be founded include sexual harassment/sexual assault (seven complaints), sexual orientation discrimination (three complaints), harassment (two complaints), violation of the Policy on Consensual Relationships Involving Students (one complaint), sex discrimination (one complaint), race discrimination (one complaint), national origin discrimination (one complaint), domestic violence (one complaint), and stalking (one complaint). There were 12 respondents to the 11 founded complaints: five faculty members, three staff members, three students, and one student employee.

A single complaint may result in a number of disciplinary measures or actions taken. Table 19 and Figure 19 illustrate the disciplinary measures and actions taken in response to founded internal complaints filed in FY 2018.

**Table 19 and Figure 19
Discipline/Action Taken Regarding Founded Internal Complaints, Fiscal Year 2018**

Discipline / Action Taken	Number	Percent
Termination	2	10 %
Voluntary Resignation	3	14 %
Suspension	1	5 %
Verbal Reprimand	1	5 %
Reassignment	1	5 %
Educational Program/Policy Review	2	10 %
No Contact Directive	4	19 %
Campus/Building Prohibitions	2	10 %
Student Life Sanction	1	5 %
Other Action	4	19 %
Total	21	



In some instances, actions were recommended following investigation of complaints that were determined to be unfounded, i.e., based on the available evidence, there was not a reasonable basis to believe that a violation of university policy had occurred, or the conduct complained of did not constitute a violation of university policy. Recommended actions are intended to improve knowledge of behavioral expectations in the workplace or academic setting, improve knowledge of university policies, and/or improve the departmental climate. Such recommendations include education and training, management plans for conflict resolution, and focus on respectful communications.

VI. External Complaints, Fiscal Year 2018

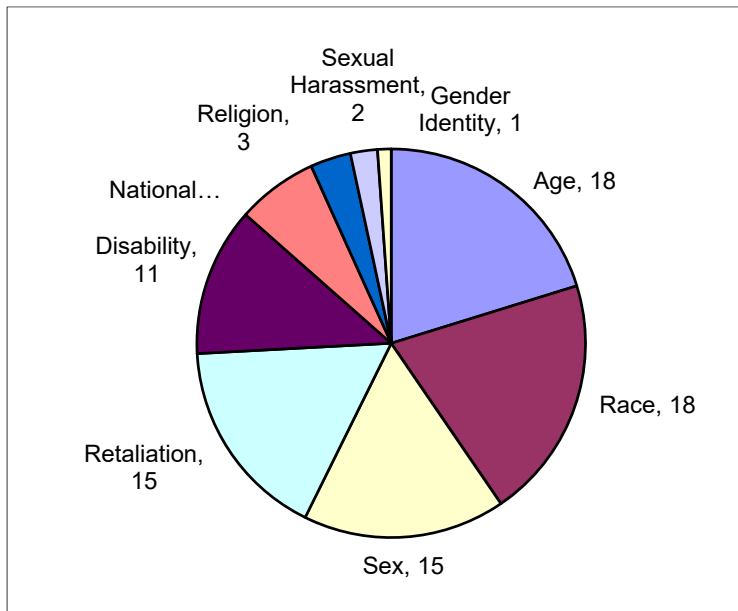
In Fiscal Year 2018, the Office of Equal Opportunity and Diversity responded to 40 external complaints filed by 23 complainants with state and/or federal civil rights enforcement agencies against the University of Iowa. Twenty-three complaints were filed with the Iowa Civil Rights Commission and 17 were filed with the Equal Employment Opportunity Commission.

A. Bases of the Complaints

The 40 external complaints were based on 89 charges of alleged discrimination and/or retaliation. The most prevalent allegations were of age discrimination (18 complaints), race discrimination (18 complaints), sex discrimination (15 complaints), and retaliation (15 complaints). Table 20 and Figure 20 below show the bases of the external complaints filed in FY 2018.

**Table 20 and Figure 20
Bases of the External Complaints, Fiscal Year 2018**

Basis	Number	Percent
Age	18	20 %
Race	18	20 %
Sex	15	17 %
Retaliation	15	17 %
Disability	11	12 %
National Origin	6	7 %
Religion	3	3 %
Sexual Harassment	2	2 %
Gender Identity	1	1 %
Total	89	



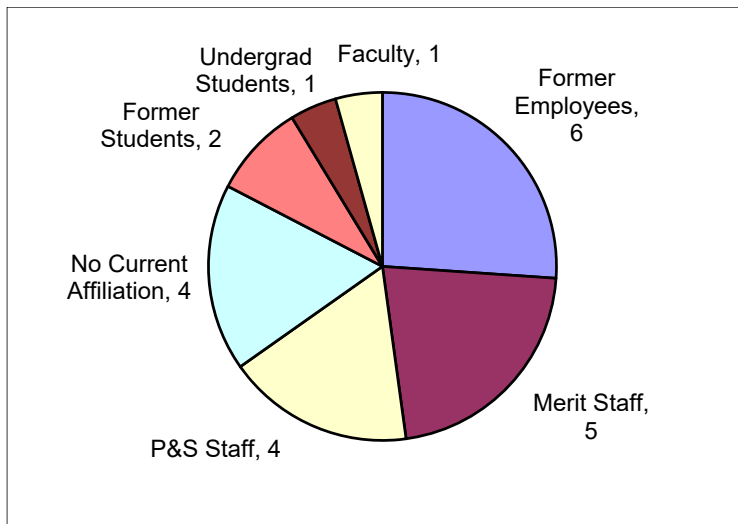
B. Complainant Characteristics

In FY 2018, 23 complainants filed external complaints; one of these complainants also filed an internal complaint.

Complainant Status. Table 21 and Figure 21 below provide the status of the complainants in the external complaints.

**Table 21 and Figure 21
Status of Complainants, External Complaints, Fiscal Year 2018**

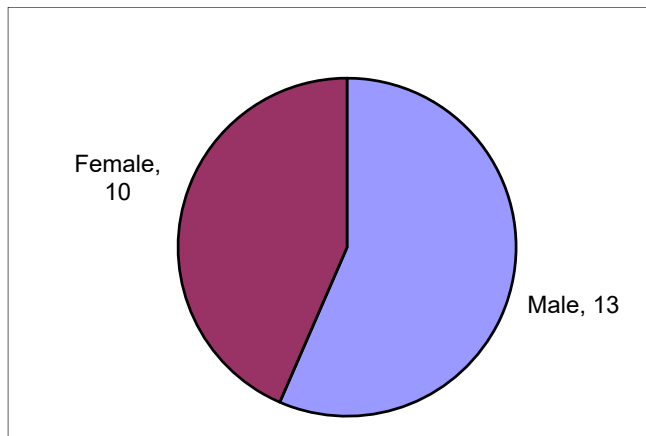
Status of Complainants	Number	Percent
Former Employees	6	26 %
Merit Staff	5	22 %
Professional & Scientific Staff	4	17 %
No Current UI Affiliation	4	17 %
Former Students	2	9 %
Undergraduate Students	1	4 %
Faculty	1	4 %
Total	23	



Complainant Sex. Table 22 and Figure 22 below indicate the sex of the complainants in the external complaints.

**Table 22 and Figure 22
Sex of Complainants, External Complaints, Fiscal Year 2018**

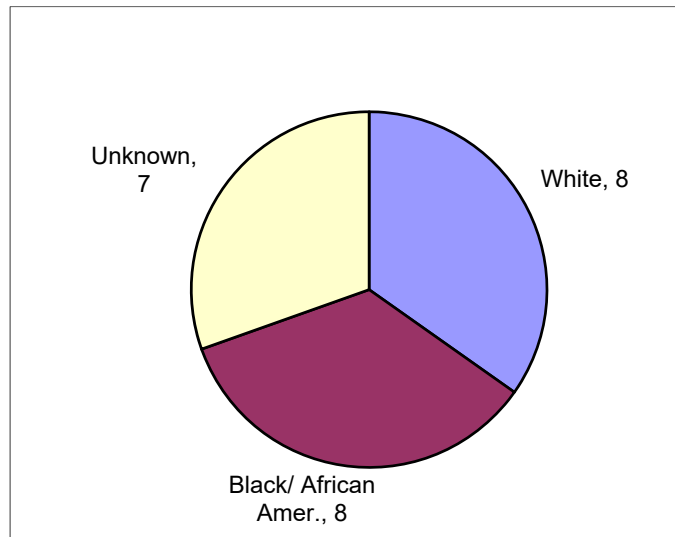
Sex of Complainants	Number	Percent
Male	13	57 %
Female	10	43 %
Total	23	



Complainant Race/Ethnicity. Table 23 and Figure 23 below indicate the race/ethnicity of the complainants in the external complaints.

**Table 23 and Figure 23
Race/Ethnicity of Complainants, External Complaints, Fiscal Year 2018**

Race/Ethnicity of Complainants	Number	Percent
White	8	35 %
Black/African American	8	35 %
Unknown	7	30 %
Total	23	

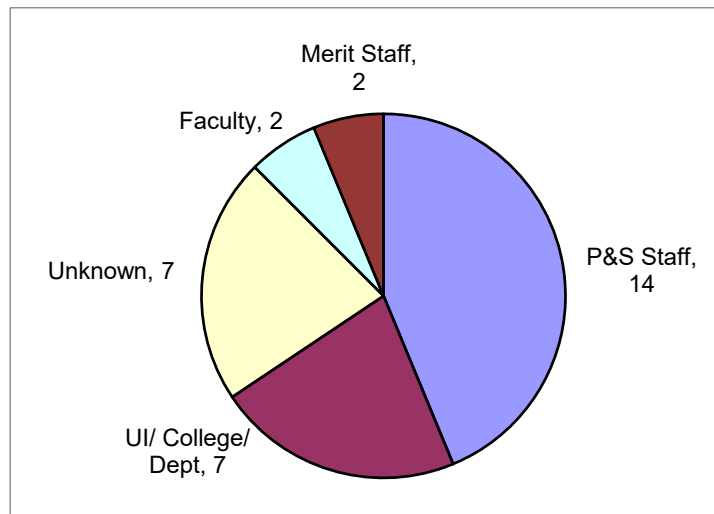


C. Respondent Characteristics

Respondent Status. Table 24 and Figure 24 below indicate the status of the respondents in the external complaints.

Table 24 and Figure 24
Status of Respondents, External Complaints, Fiscal Year 2018

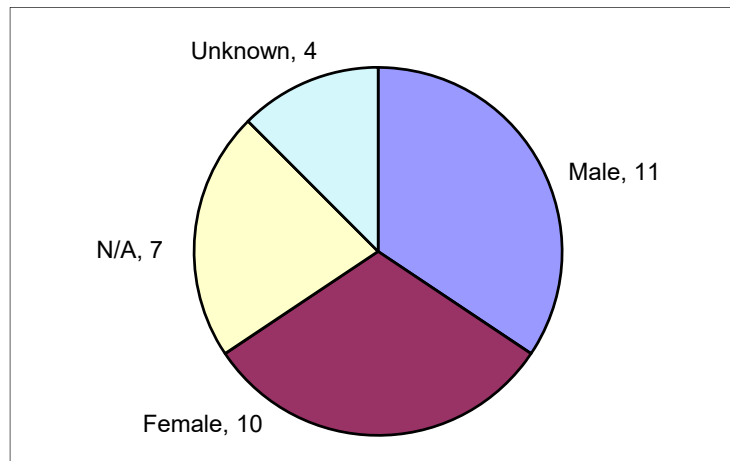
Status of Respondents	Number	Percent
Professional & Scientific Staff	14	44 %
University/College/Department	7	22 %
Unknown	7	22 %
Faculty	2	6 %
Merit Staff	2	6 %
Total	32	



Respondent Sex. Table 25 and Figure 25 below indicate the sex of the respondents in the external complaints filed during FY 2018.

**Table 25 and Figure 25
Sex of Respondents, External Complaints, Fiscal Year 2018**

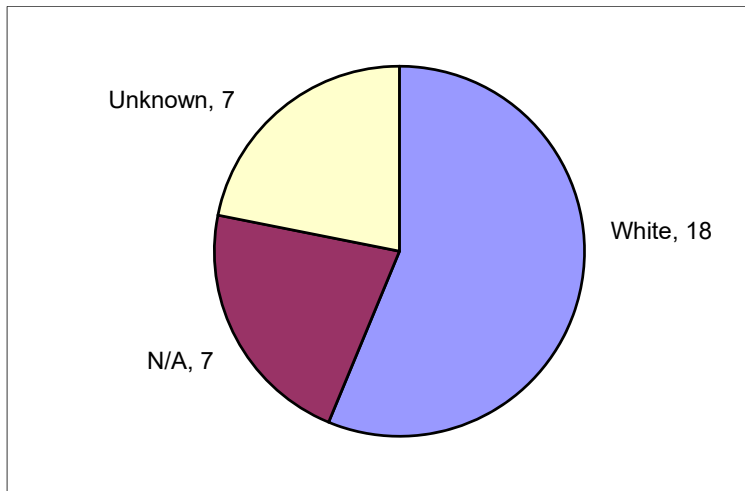
Sex of Respondents	Number	Percent
Male	11	34 %
Female	10	31 %
N/A (University/College/Dept.)	7	22 %
Unknown	4	13 %
Total	32	



Respondent Race/Ethnicity. Table 26 and Figure 26 below indicate the race/ethnicity of the respondents in the external complaints during FY 2018.

**Table 26 and Figure 26
Race/Ethnicity of Respondents, External Complaints, Fiscal Year 2018**

Race/Ethnicity of Respondents	Number	Percent
White	18	56 %
N/A (University/College/ Dept.)	7	22 %
Unknown	7	22 %
Total	32	

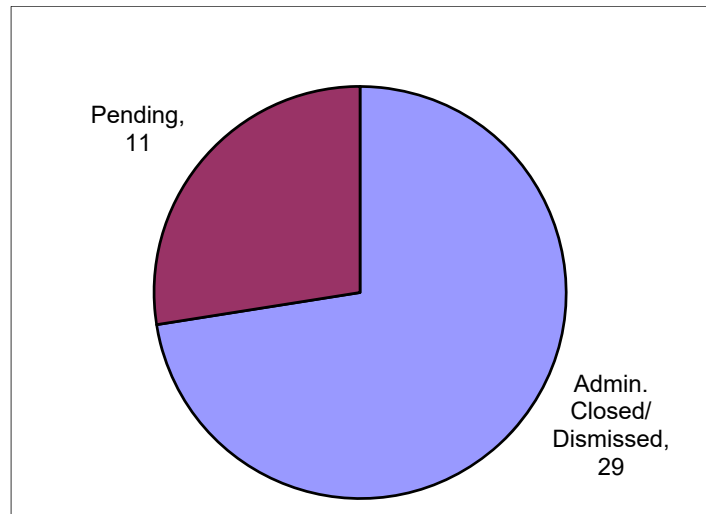


D. Resolution of the Complaints

Table 27 and Figure 27 illustrate the resolution of the external complaints (as of June 5, 2019).

**Table 27 and Figure 27
Resolution of the External Complaints, Fiscal Year 2018**

Resolution (as of June 5, 2019)	Number	Percent
Administratively Closed/ Dismissed	29	73 %
Pending	11	28 %
Total	40	



VII. Sexual Harassment Complaints, Fiscal Year 2018

Two University of Iowa policies address unwelcomed sexual behavior and/or sexual misconduct:

- [Policy on Sexual Harassment](#)
- [Policy on Sexual Misconduct, Dating/Domestic Violence, or Stalking Involving Students](#)

Under the Policy on Sexual Harassment, complaints by or against employees may be filed with the Office of Equal Opportunity and Diversity (EOD) or the Office of the Sexual Misconduct Response Coordinator, or the complainant may request informal resolution by bringing the complaint to any academic or administrative officer (AAO)⁵ of the university. No university employee is authorized to investigate or resolve allegations of unwelcomed sexual behavior or sexual harassment of a university employee without the involvement of the Office of the Sexual Misconduct Response Coordinator or the Office of Equal Opportunity and Diversity.

Under the Policy on Sexual Misconduct, Dating/Domestic Violence, or Stalking Involving Students, complaints by or against students may be brought to the Office of the Sexual Misconduct Response Coordinator. No university employee is authorized to investigate or resolve allegations of unwelcomed sexual behavior or sexual harassment of student without the involvement of the Office of the Sexual Misconduct Response Coordinator.

This section of this report includes complaints filed under the Policy on Sexual Harassment which were investigated by EOD or for which an informal resolution was sought within another academic or administrative unit.

A. Number of Complaints Filed

During FY 2018, a total of 89 complaints of sexual harassment (including sexual assault) were filed with the Office of Equal Opportunity and Diversity (EOD) and with academic or administrative or administrative officers in other units: 21 with EOD and 68 with other units. This number represents a 39 percent increase over the 64 complaints filed in FY 2017 and an 89 percent increase over the 47 complaints filed in FY 2014. Nineteen of the sexual harassment complaints filed with EOD were formal complaints, and two were informal complaints.

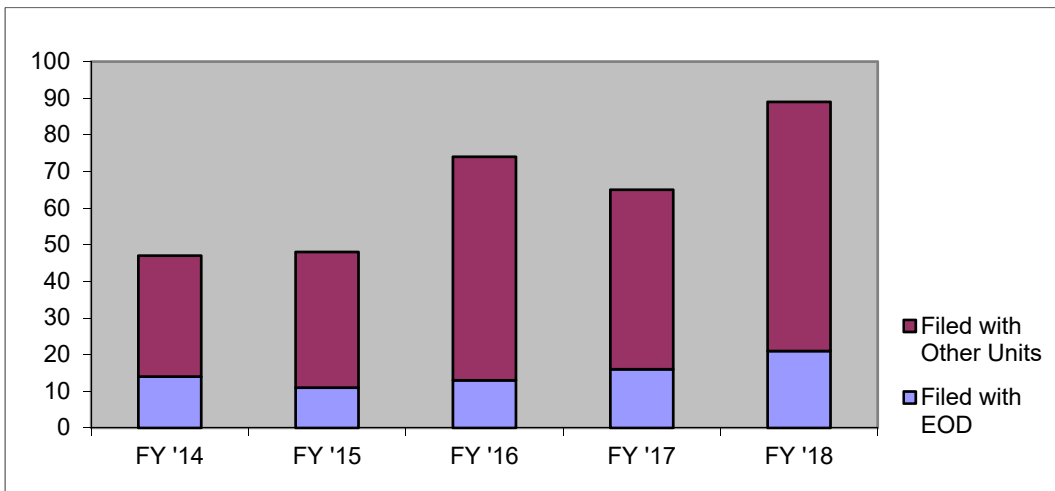
Table 28 and Figure 28 below show the numbers of sexual harassment complaints filed with EOD and with other academic or administrative units over the last five years.

⁵ For the purposes of this policy, AAOs include collegiate deans, including associate and assistant deans; faculty members with administrative responsibilities at the level of departmental executive officer or above; staff members whose primary job responsibility is academic advisement; faculty or staff members serving as directors or coordinators of undergraduate or graduate/professional studies or any departmental, collegiate, or university off-campus program; the president; the director of equal opportunity and diversity; the sexual misconduct response coordinator; vice presidents, including assistant and associate vice presidents; the provost; those person's designees; directors and supervisors in an employment context; and human resource representatives.

Table 28 and Figure 28
Sexual Harassment Complaints Filed at the University of Iowa, Fiscal Years 2014 - 2018

Investigative Area	FY '14	FY '15	FY '16	FY '17	FY '18
Office of Equal Opportunity & Diversity	14	11	13	16	21
Other Academic/ Administrative Units	33	37	61	49 *	68
Total	47	48	74	65 *	89

* In the event that EOD receives notice of informal resolutions sought within other units following the publication of that year's annual report, subsequent reports reflect the updated counts for prior years.



B. Bases of the Complaints

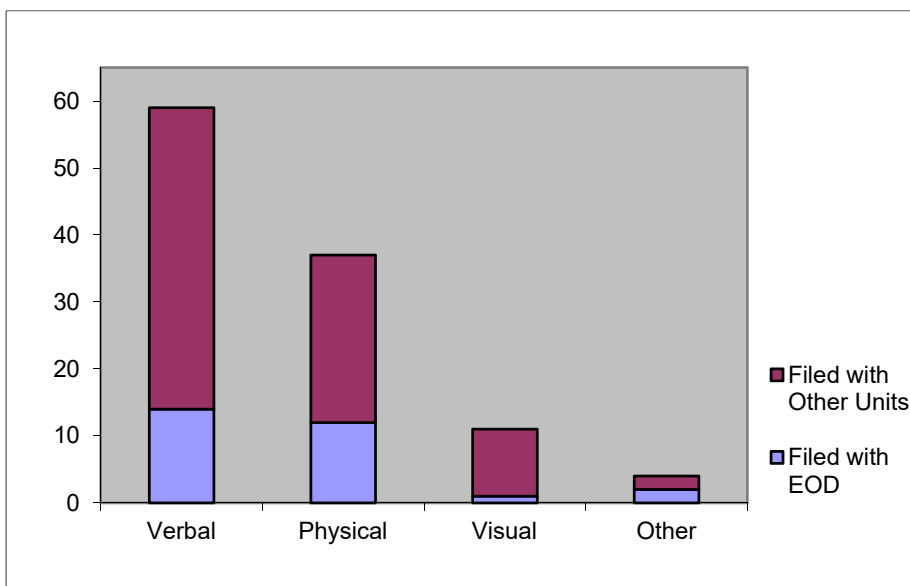
The 21 sexual harassment complaints filed with the Office of Equal Opportunity and Diversity were based on 29 categories of harassing behaviors, and the 68 informal complaints filed with other academic or administrative units were based on 82 categories of harassing behaviors.

Verbal harassment can include comments of a sexual nature, unwelcome advances, derogatory sex-based comments, and verbal threats. Examples of physical harassment are unwelcome contact, physical gestures, exhibitionism, stalking, and assault. Visual harassment can include written materials, pictures or photographs, posters, and electronic/computer images. Other forms of sexual harassment can include conditioning employment or educational benefits on submitting to sexual advances or retaliation for making a sexual harassment complaint.

Table 29 and Figure 29 below provide a summary of the bases upon which the sexual harassment complaints were filed during FY 2018.

**Table 29 and Figure 29
Bases of Sexual Harassment Complaints, Fiscal Year 2018**

Basis	Total	Filed with EOD	Filed with Other Units
Verbal Harassment	59 53 %	14 48 %	45 55 %
Physical Harassment	37 33 %	12 41 %	25 30 %
Visual Harassment	11 10 %	1 3 %	10 12 %
Other	4 4 %	2 7 %	2 2 %
Total	111	29	82



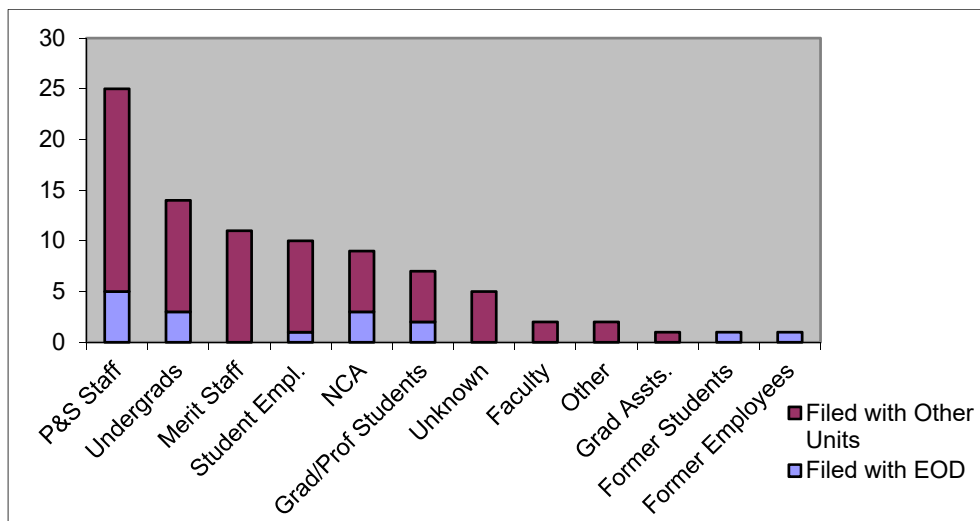
C. Complainant Characteristics

In Fiscal Year 2018, 88 complainants filed sexual harassment (including sexual assault) complaints: 16 complainants filed with EOD and 72 complainants filed with other units.

Complainant Status. Table 30 and Figure 30 below provide the status of the complainants in the sexual harassment complaints filed in FY 2018.

**Table 30 and Figure 30
Status of Complainants, Sexual Harassment Complaints, Fiscal Year 2018**

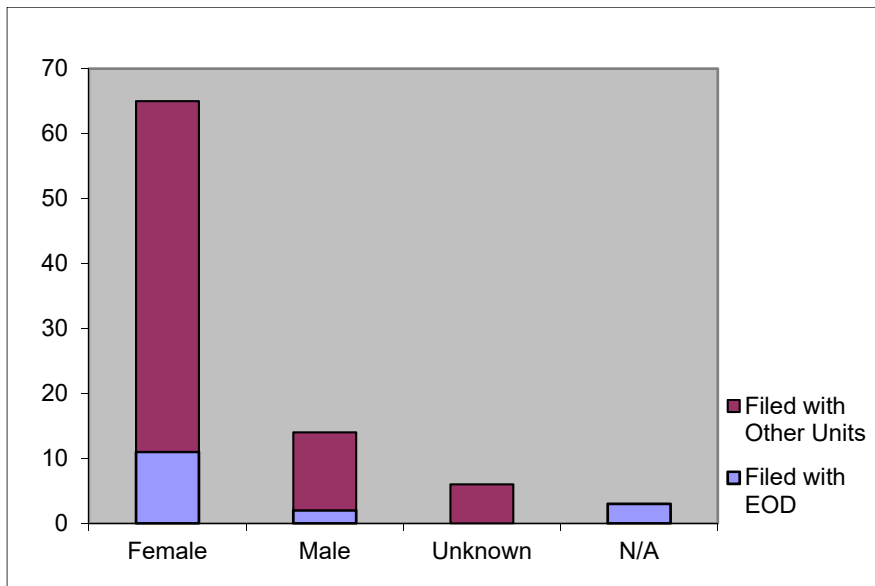
Status of Complainants	Total	Filed with EOD	Filed with Other Units
Professional & Scientific Staff	25 28 %	5 31 %	20 28 %
Undergraduate Students	14 16 %	3 19 %	11 15 %
Merit Staff	11 13 %	0	11 15 %
Student Employees	10 11 %	1 6 %	9 13 %
No Current UI Affiliation	9 10 %	3 19 %	6 8 %
Graduate/Professional Students	7 8 %	2 13 %	5 7 %
Unknown	5 6 %	0	5 7 %
Faculty	2 2 %	0	2 3 %
Other	2 2 %	0	2 3 %
Graduate Assistants	1 1 %	0	1 1 %
Former Students	1 1 %	1 6 %	0
Former Employees	1 1 %	1 6 %	0
Total	88	16	72



Complainant Sex. Table 31 and Figure 31 below indicate the sex of the complainants in the sexual harassment complaints filed in FY 2018.

**Table 31 and Figure 31
Sex of Complainants, Sexual Harassment Complaints, Fiscal Year 2018**

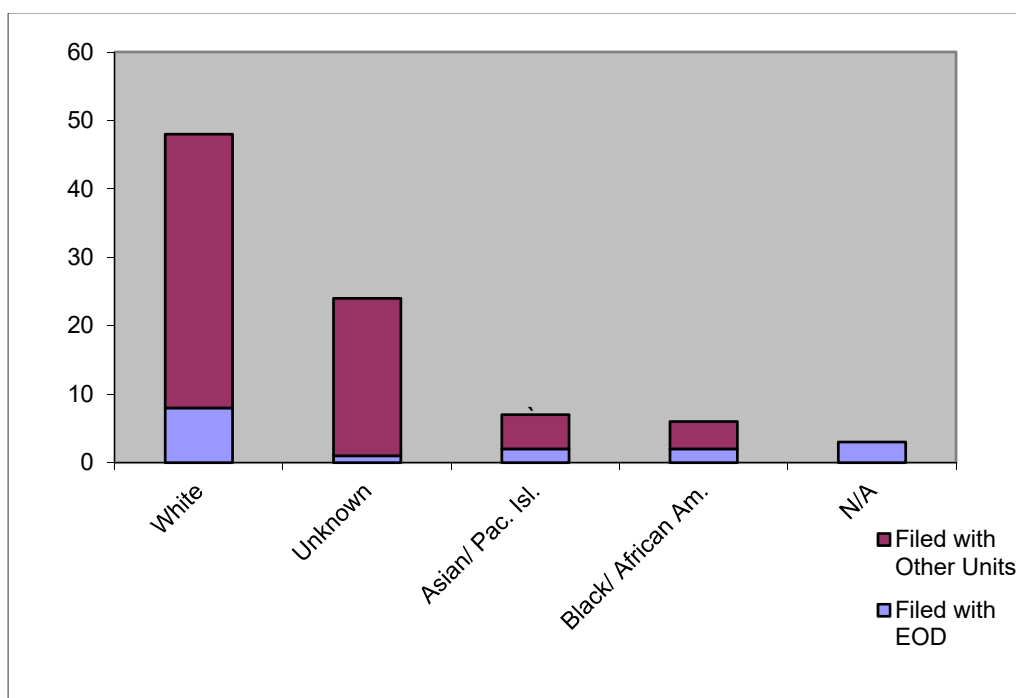
Sex of Complainants	Total	Filed with EOD	Filed with Other Units
Female	65 74 %	11 69 %	54 75 %
Male	14 16 %	2 13 %	12 17 %
Unknown	6 7 %	0	6 8 %
N/A (University/College/Dept.)	3 3 %	3 19 %	0
Total	88	16	72



Complainant Race/Ethnicity. Table 32 and Figure 32 below indicate the race/ethnicity of the complainants in the sexual harassment complaints filed in FY 2018.

**Table 32 and Figure 32
Race/Ethnicity of Complainants, Sexual Harassment Complaints, Fiscal Year 2018**

Race/Ethnicity of Complainants	Total	Filed with EOD	Filed with Other Units
White	48 55 %	8 50 %	40 56 %
Unknown Race/Ethnicity	24 27 %	1 6 %	23 32 %
Asian/Pacific Islander	7 8 %	2 13 %	5 7 %
Black/African American	6 7 %	2 13 %	4 6 %
N/A (University/College/Dept.)	3 3 %	3 19 %	0
Total	88	16	72



D. Third-Party Complaints

Under the university's sexual harassment policy, a complaint may be brought forward by any member of the university community, including a third party, or by the university itself. A third-party complaint must state specific and credible allegations to warrant an investigation. Seven of the sexual harassment complaints investigated by EOD and ten of the sexual harassment complaints investigated by other units in FY 2018 were brought forward by third parties.

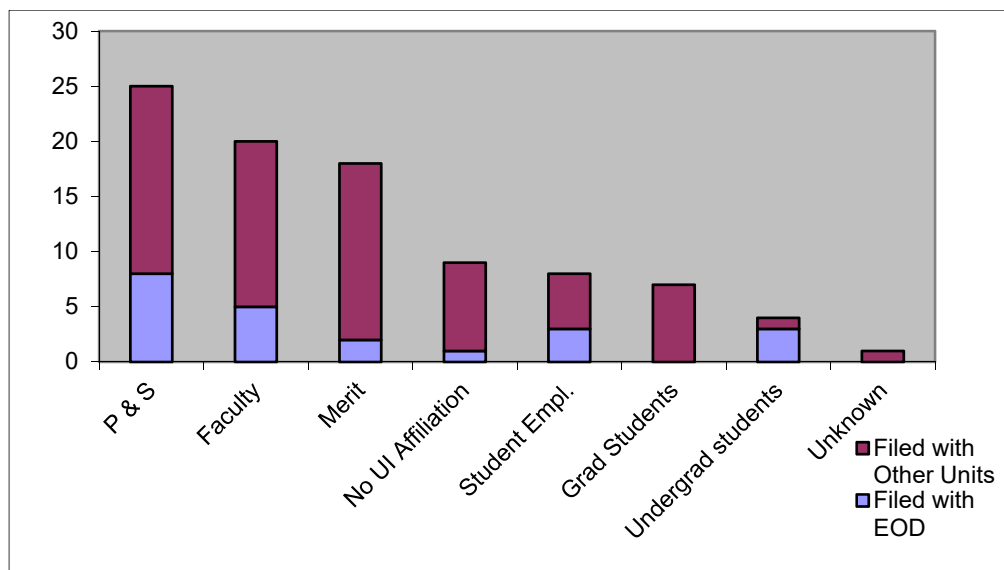
E. Respondent Characteristics

There were a total of 92 respondents to sexual harassment (including sexual assault) complaints in FY 2018: 22 respondents to complaints investigated by Office of Equal Opportunity and Diversity and 70 respondents to complaints investigated by other units.

Respondent Status. Table 33 and Figure 33 below show the status of the respondents in the sexual harassment complaints filed in FY 2018.

Table 33 and Figure 33
Status of Respondents, Sexual Harassment Complaints, Fiscal Year 2018

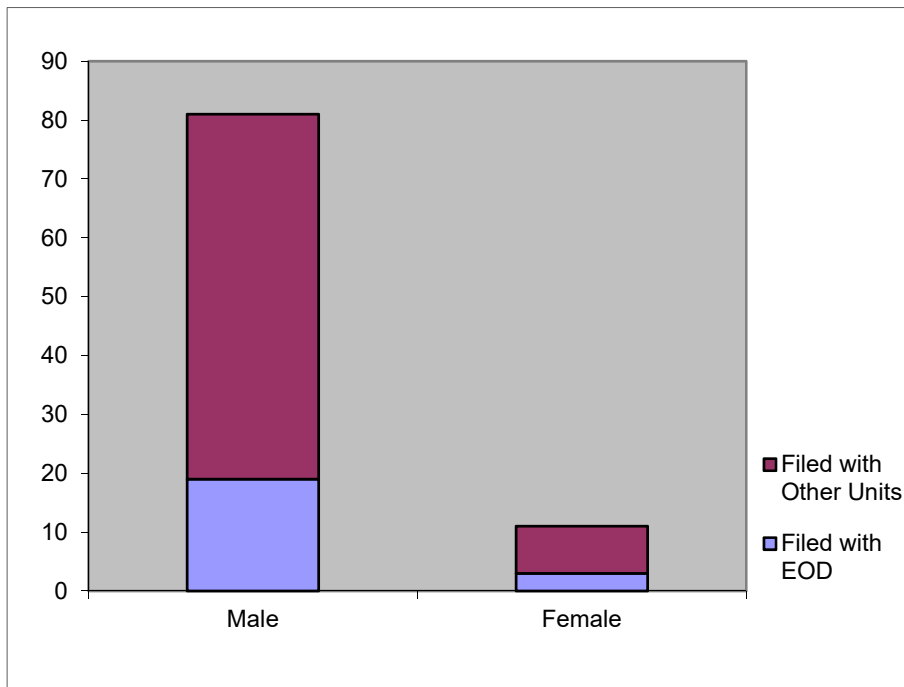
Status of Respondents	Total	Filed with EOD	Filed with Other Units
Professional & Scientific Staff	25 27 %	8 36 %	17 24 %
Faculty	20 22 %	5 23 %	15 21 %
Merit Staff	18 20 %	2 9 %	16 23 %
No UI Affiliation	9 10 %	1 5 %	8 11 %
Student Employees	8 9 %	3 14 %	5 7 %
Graduate/Professional Students	7 8 %	0	7 10 %
Undergraduate Students	4 4 %	3 14 %	1 1 %
Unknown	1 1 %	0	1 1 %
Total	92	22	70



Respondent Sex. Table 34 and Figure 34 below indicate the sex of the respondents in the sexual harassment complaints filed in FY 2018.

**Table 34 and Figure 34
Sex of Respondents, Sexual Harassment Complaints, Fiscal Year 2018**

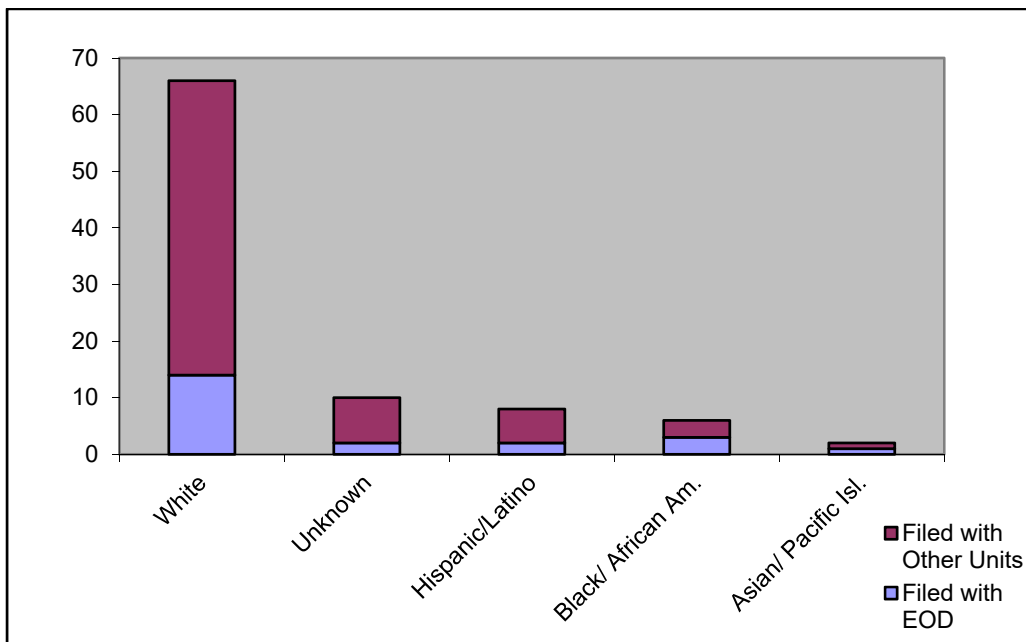
Male	81	19	62
	88 %	86 %	89 %
Female	11	3	8
	12 %	14 %	11 %
Total	92	22	70



Respondent Race/Ethnicity. Table 35 and Figure 35 below indicate the race/ethnicity of the respondents in the sexual harassment complaints filed in FY 2018.

**Table 35 and Figure 35
Race/Ethnicity of Respondents, Sexual Harassment Complaints,
Fiscal Year 2018**

Race/Ethnicity of Respondents	Total	Filed with EOD	Filed with Other Units
White	66 72 %	14 64 %	52 74 %
Unknown Race/Ethnicity	10 11 %	2 9 %	8 11 %
Hispanic/Latino	8 9 %	2 9 %	6 9 %
Black/African American	6 7 %	3 14 %	3 4 %
Asian/Pacific Islander	2 2 %	1 5 %	1 1 %
Total	92	22	70

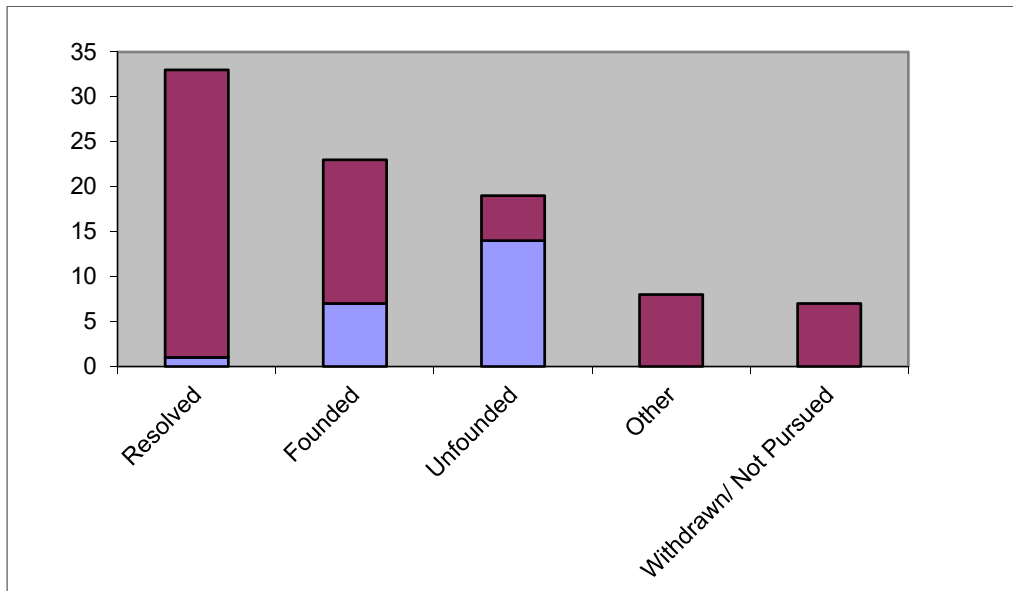


F. Resolution of the Complaints

Table 36 and Figure 36 illustrate the findings of sexual harassment (including sexual assault) complaints filed in FY 2018. Complaints resulting in split findings (e.g., founded as to one charge and unfounded as to another, or founded as to one respondent and unfounded as to another) are counted in each of the applicable categories.

**Table 36 and Figure 36
Resolution of Sexual Harassment Complaints, Fiscal Year 2018**

Resolved/Settled	33 37 %	1 5 %	32 47 %
Founded	23 26 %	7 32 %	16 24 %
Unfounded	19 21 %	14 64 %	5 7 %
Other	8 9 %	0	8 12 %
Withdrawn/Not Pursued	7 8 %	0	7 10 %
Total	90	22	68



G. Discipline/Action Taken

A single complaint may result in a number of disciplinary measures or actions taken. Table 37 and Figure 37 illustrate the disciplinary measures and actions taken in response to sexual harassment (including sexual assault) complaints filed in FY 2018. As noted in Table 36, there were 23 founded sexual harassment complaints in FY 2018; of these, seven were filed with the Office of Equal Opportunity and Diversity and 16 were filed with other units.

Table 37 and Figure 37
Discipline/Action Taken Regarding Sexual Harassment Complaints, Fiscal Year 2018

Discipline / Action Taken	Total	Filed with EOD	Filed with Other Units
Termination	6 6 %	2 8 %	4 5 %
Voluntary Resignation	2 2 %	1 4 %	1 1 %
Demotion	1 1 %	1 4 %	0
Suspension	3 3 %	1 4 %	2 2 %
Written Reprimand	10 9 %	1 4 %	9 11 %
Verbal Reprimand	7 7 %	0	7 8 %
Reassignment	7 7 %	2 8 %	5 6 %
Educational Program/Policy Review	42 39 %	6 25 %	36 43 %
Apology	1 1 %	0	1 1 %
No Contact Directive	5 5 %	4 17 %	1 1 %
Campus/Building Prohibitions	2 2 %	2 8 %	0
Student Life Sanction	1 1 %	1 4 %	0
Other Action	20 19 %	3 13 %	17 20 %
Total	107	24	83

