



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

**Annual Report of Complaints Filed
Fiscal Year 2019**

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

**ANNUAL REPORT OF COMPLAINTS FILED
FISCAL YEAR 2019**

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

¹ The full text of these university policies is available at [on the Diversity at Iowa webpage](#)

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 they are 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 2019, 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 2019.

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

Phone: 319-335-0705
Email: diversity@uiowa.edu
Website: <https://diversity.uiowa.edu/eod>

II. Educational Programming

The Division of Diversity, Equity, and Inclusion units Diversity Resources (DR) and 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 2019, DR and EOD conducted 216 educational programs attended by over 6,200 individuals. Several of these programs were part of ongoing DR series and initiatives, including Building University of Iowa Leadership for Diversity (BUILD), Safe Zone, Women's Leadership Initiative, 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.

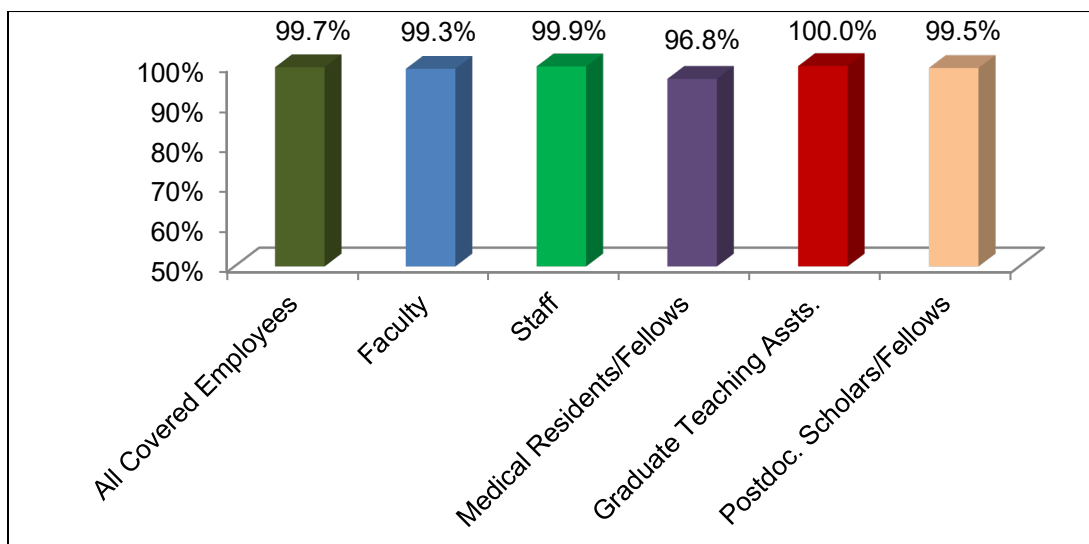
Per university policy, all regular faculty and staff appointed at 50% time or more, as well as graduate and undergraduate teaching assistants and undergraduate resident assistants employed by University Housing, are required to receive training on sexual harassment prevention within six months of hire 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 2019, a total of 12,313 individuals completed one of the approved harassment prevention courses; of these, 67 percent (8,264) completed an online training and 33 percent (4,049) completed an in-person training. As of June 30, 2019, 99.7 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 persons' designees; directors and supervisors in an employment context; and human resources representatives.

Table 1 and Figure 1
Sexual Harassment Prevention Education Completion Rates as of June 30, 2019

Employee Category	Completion Rate
Faculty	99.3%
Graduate Teaching Assistants	100.0%
Medical Residents and Fellows	96.8%
Postdoctoral Scholars/Fellows	99.5%
Staff	99.9%
Total	99.7%



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/>

Email: 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/>

Email: wrac@uiowa.edu

Hours: M – F 9 a.m. to 5 p.m.

Rape Victim Advocacy Program (RVAP)

RVAP Building, 108 River Street

Business Phone: 335-6001

Rape Crisis Line: 335-6000 (24 hours/day)
or 800-228-1625 (24 hours/day)

Website: <http://rvap.uiowa.edu/>

Email: 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/>

Email: 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 2015 - 2019

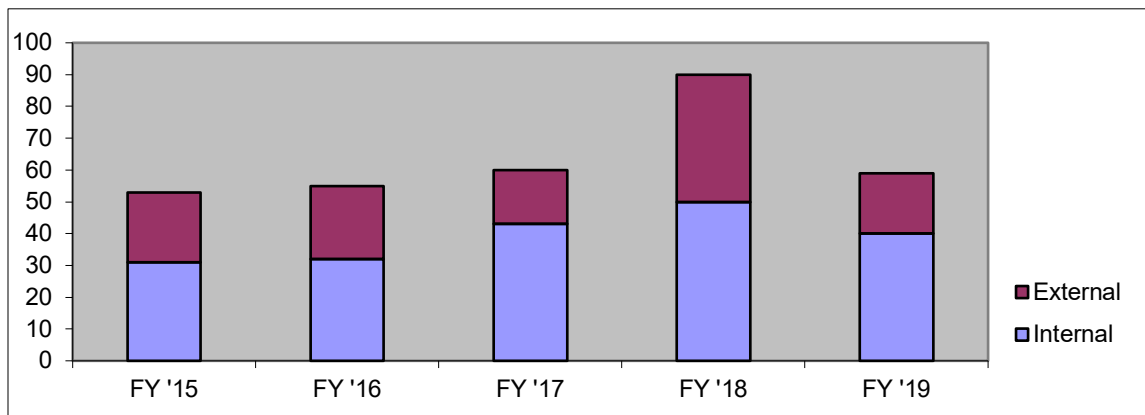
A. Number of Complaints Filed

During Fiscal Year 2019 (July 1, 2018 – June 30, 2019), 39 complainants filed a total of 59 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 34 percent decrease from the number of complaints filed during the previous fiscal year and an 11 percent increase over the number of complaints filed in Fiscal Year 2015.

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 2015 - 2019**

Category	FY '15	FY '16	FY '17	FY '18	FY '19	Total, FYs '15 – '19
Internal Complaints (filed with EOD)	31 58 %	32 58 %	43 72 %	50 56 %	40 68 %	196 62 %
External Complaints (filed with outside agencies)	22 42 %	23 42 %	17 28 %	40 44 %	19 32 %	121 38 %
Total	53	55	60	90	59	317



B. Bases of the Complaints

The 59 complaints in FY 2019 were based on 97 allegations of discrimination, harassment, or other policy violations. The most prevalent allegations were of disability discrimination (27 complaints, up 50% from 18 complaints), sex discrimination (14 complaints, down 30 percent from 20 complaints), race discrimination (12 complaints, down 48 percent from 23 complaints), retaliation (12 complaints, down 45 percent from 22 complaints), and sexual harassment/sexual assault (11 complaints, down 52 percent from 23 complaints).

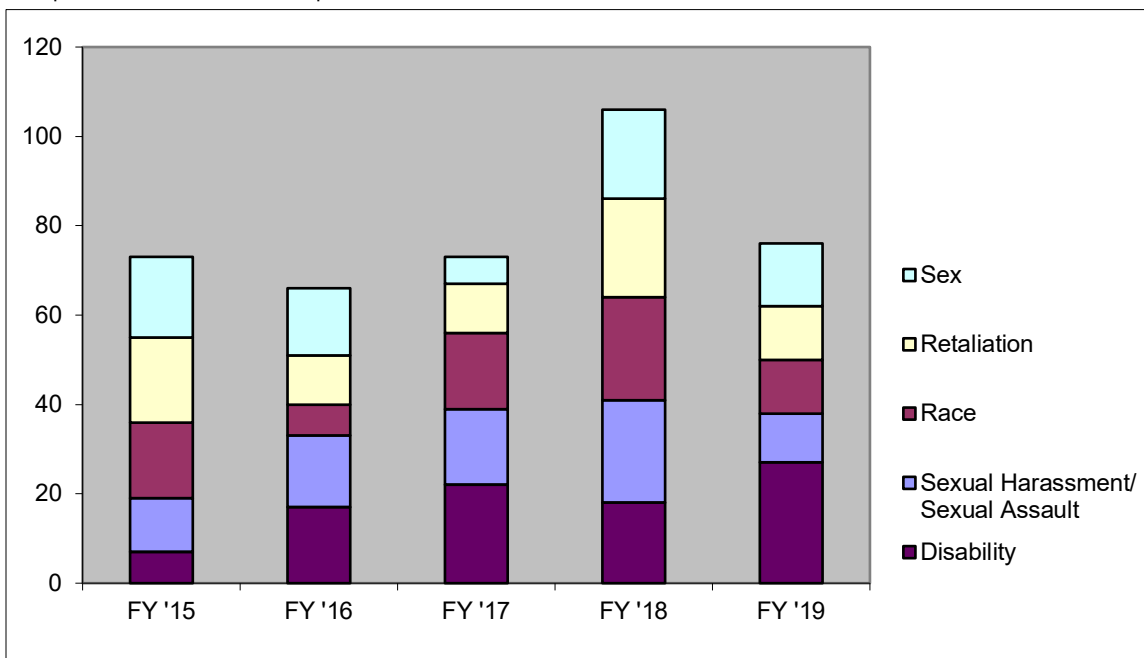
Table 3 and Figure 3 describe the bases of complaints filed in the last five years.

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 2015 - 2019**

Basis	FY '15	FY '16	FY '17	FY '18	FY '19	Total, FYs '15 – '19
Disability	7	17	22	18	27	91
Sexual Harassment/Sexual Assault	12	16	17	23	11	79
Race	17	7	17	23	12	76
Retaliation	19	11	11	22	12	75
Sex	18	15	6	20	14	73
Age	6	9	8	21	8	52
Harassment	13	9	14	5	2	43
National Origin	5	12	4	10	6	37
Sexual Orientation	12	5	9	6	1	33
Religion	5	0	0	5	0	10
Pregnancy	3	6	0	0	1	10
Consensual Relationships	1	4	2	1	0	8
Violence	2	1	3	1	1	8
Gender Identity	0	1	1	3	1	6
General Unfair Hiring Practices *	2	0	0	0	0	2
Veteran Status	0	0	0	2	0	2
Stalking	0	0	0	1	1	2
Associational Preference	0	0	0	1	0	1
Total	122	113	114	162	97	608

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



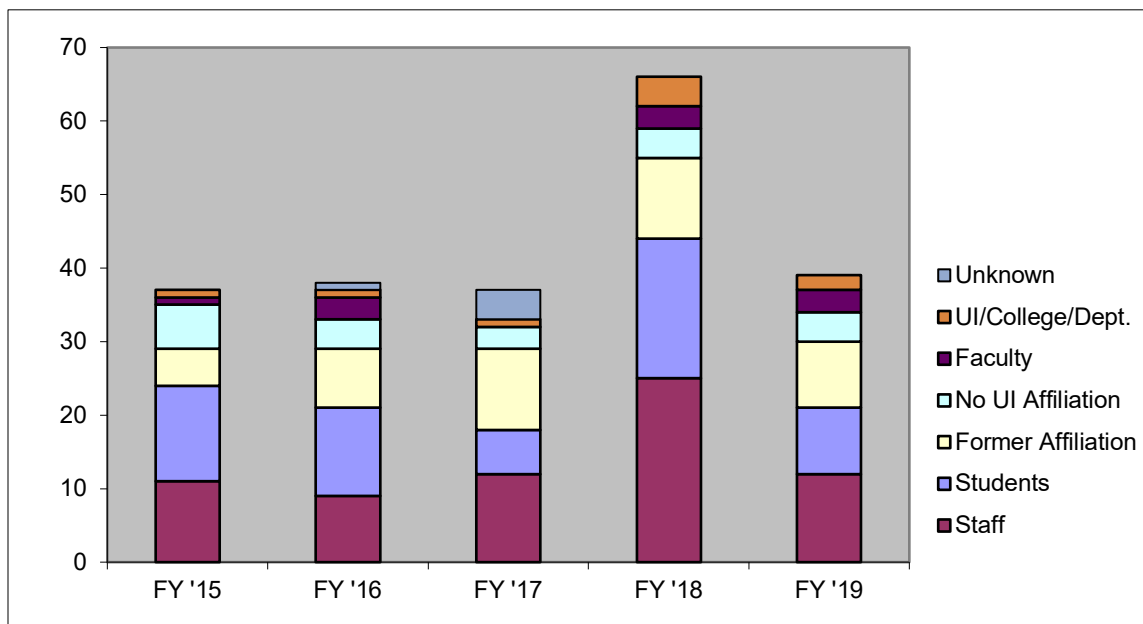
C. Complainant Characteristics

Complainant Status. Thirty-nine complainants filed complaints during FY 2019. Staff comprised the largest group of complainants (12), followed by students (9) and individuals with a former affiliation with the university (9). 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 2015 – 2019**

Status of Complainants	FY '15	FY '16	FY '17	FY '18	FY '19	Total, FYs '15 – '19
Staff	11	9	12	25	12	69
Students	13	12	6	19	9	59
Former Affiliation with the University of Iowa	5	8	11	11	9	44
No Affiliation with the University of Iowa	6	4	3	4	4	21
Faculty	1	3	0	3	3	10
University/College/Dept.	1	1	1	4	2	9
Unknown	0	1	4	0	0	5
Total	37	38*	37	66	39	217

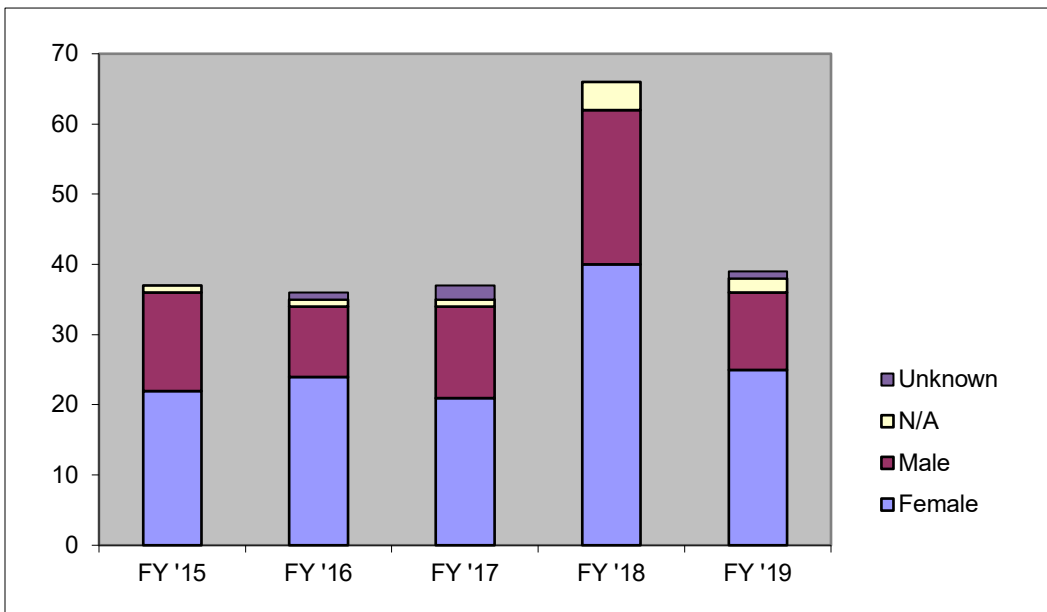
* Complainants who filed multiple complaints and whose status changed between filings are counted in each applicable status category; i.e., these complainants are counted in multiple categories in the table above, so the total count of complainants' statuses is higher than the number of distinct complainants.



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 2015 - 2019**

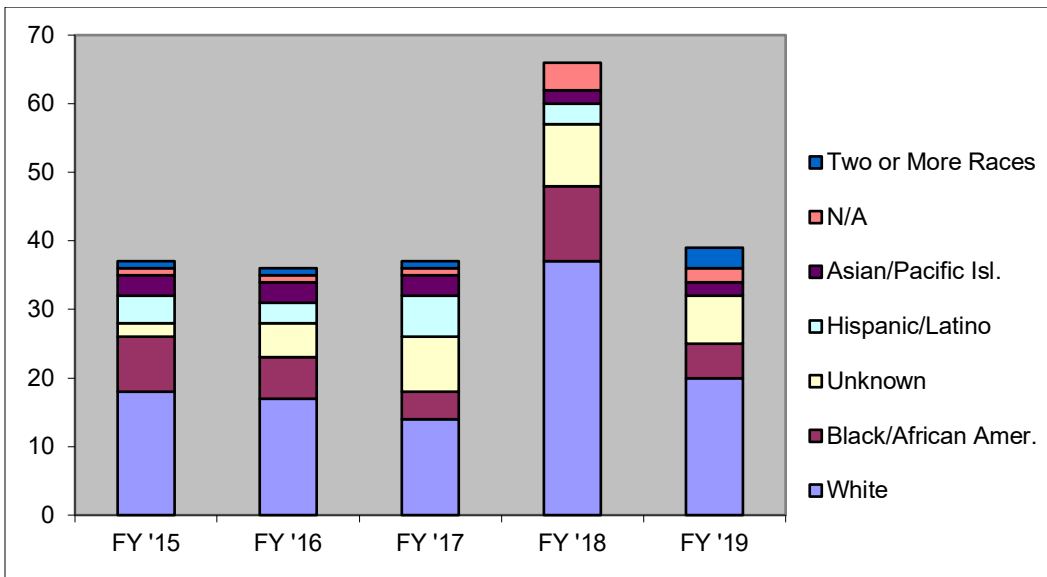
Sex of Complainants	FY '15	FY '16	FY '17	FY '18	FY '19	Total, FYs '15 – '19
Female	22	24	21	40	25	132
Male	14	10	13	22	11	70
N/A (University/College/ Dept.)	1	1	1	4	2	9
Unknown	0	1	2	0	1	4
Total	37	36	37	66	39	215



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 2015 - 2019

Race/Ethnicity of Complainants	FY '15	FY '16	FY '17	FY '18	FY '19	Total, FYs '15 – '19
White	18	17	14	37	20	106
Black/African American	8	6	4	11	5	34
Unknown Race/Ethnicity	2	5	8	9	7	31
Hispanic/Latino	4	3	6	3	0	16
Asian/Pacific Islander	3	3	3	2	2	13
N/A (University/College/Dept.)	1	1	1	4	2	9
Two or More Races	1	1	1	0	3	6
Total	37	36	37	66	39	215

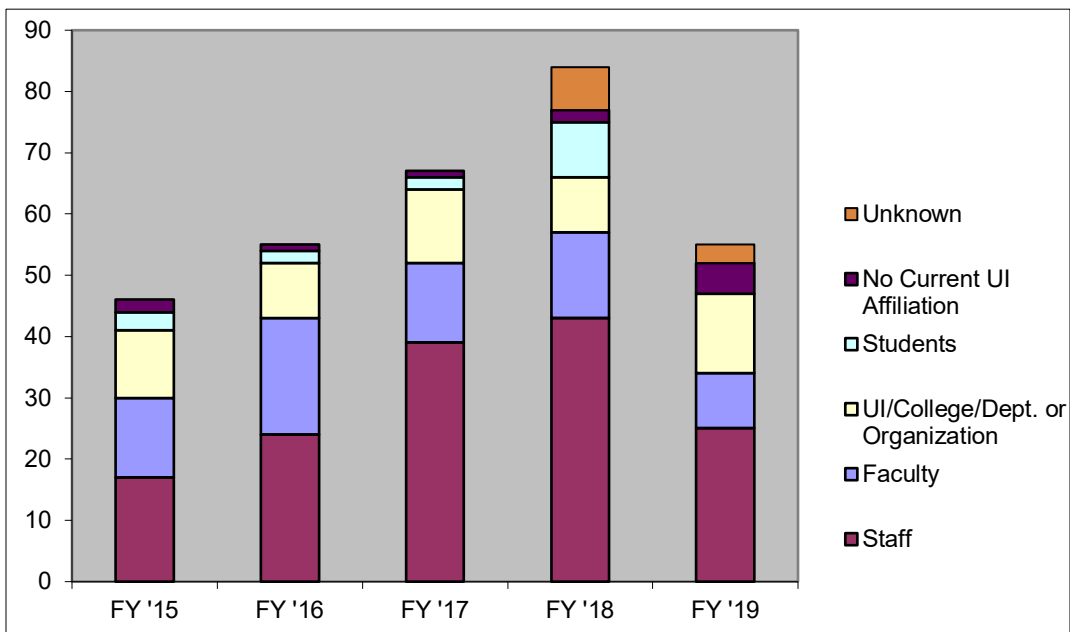


D. Respondent Characteristics

Respondent Status. There were 55 respondents to internal and external complaints in FY 2019. 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 2015 - 2019**

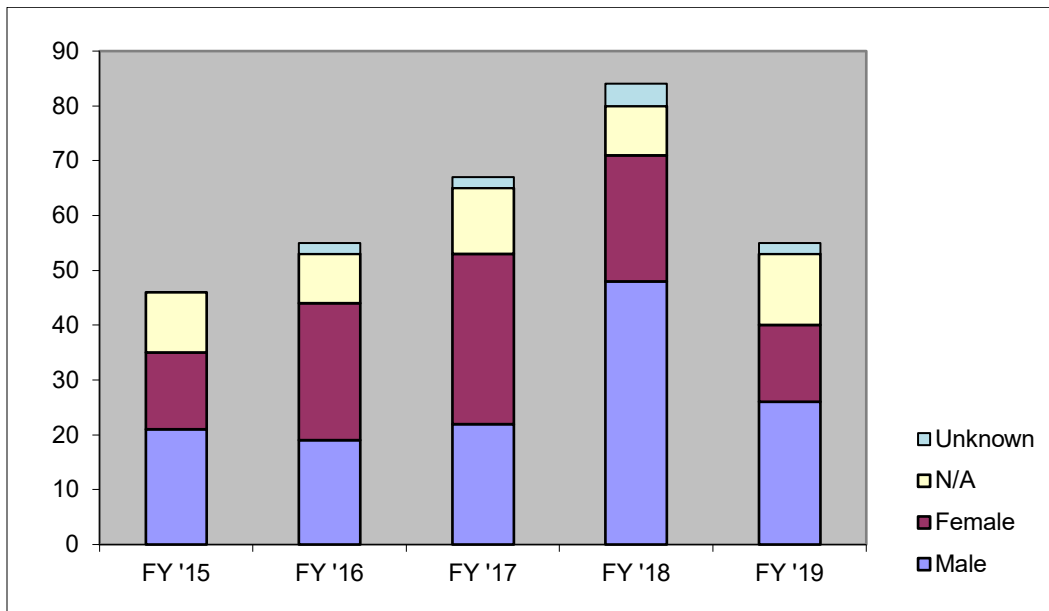
Status of Respondents	FY '15	FY '16	FY '17	FY '18	FY '19	Total, FYs '15 - '19
Staff	17	24	39	43	25	148
Faculty	13	19	13	14	9	68
University/College/Dept. or Organization	11	9	12	9	13	54
Students	3	2	2	9	0	16
No Current UI Affiliation	2	1	1	2	5	11
Unknown	0	0	0	7	3	10
Total	46	55	67	84	55	307



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 2015 - 2019**

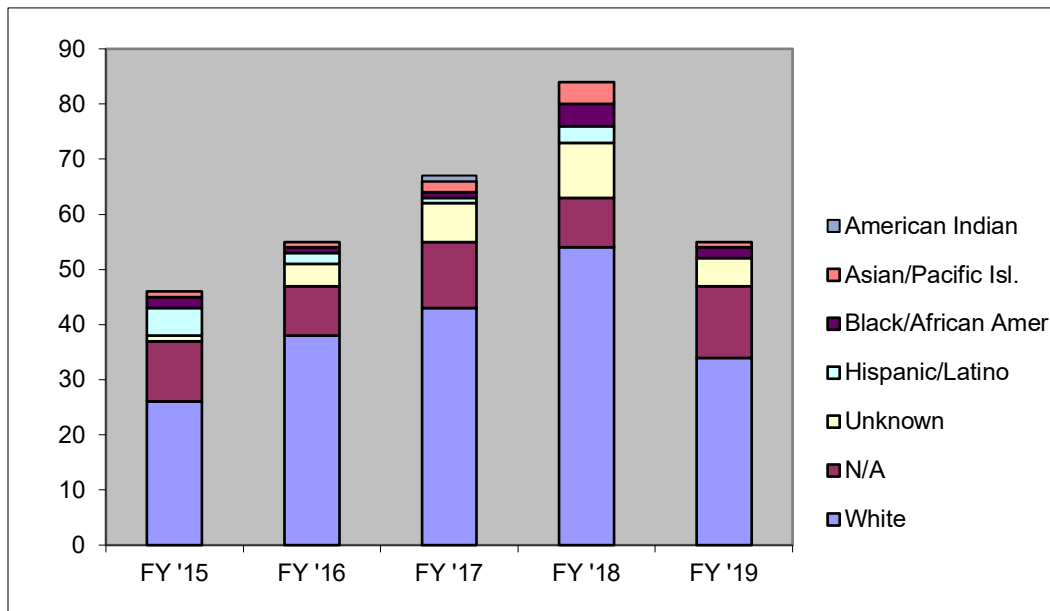
Sex of Respondents	FY '15	FY '16	FY '17	FY '18	FY '19	Total, FYs '15 – '19
Male	21	19	22	48	26	136
Female	14	25	31	23	14	107
N/A (University/College/Dept. or subcontractor)	11	9	12	9	13	54
Unknown	0	2	2	4	2	10
Total	46	55	67	84	55	307



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 2015 - 2019**

Race/Ethnicity of Respondents	FY '15	FY '16	FY '17	FY '18	FY '19	Total, FYs '15 - '19
White	26	38	43	54	34	195
N/A (University/ College/ Dept. or subcontractor)	11	9	12	9	13	54
Unknown Race/Ethnicity	1	4	7	10	5	27
Hispanic/Latino	5	2	1	3	0	11
Black/African American	2	1	1	4	2	10
Asian/Pacific Islander	1	1	2	4	1	9
American Indian/Alaska Native	0	0	1	0	0	1
Total	46	55	67	84	55	307



E. Resolution of the Complaints

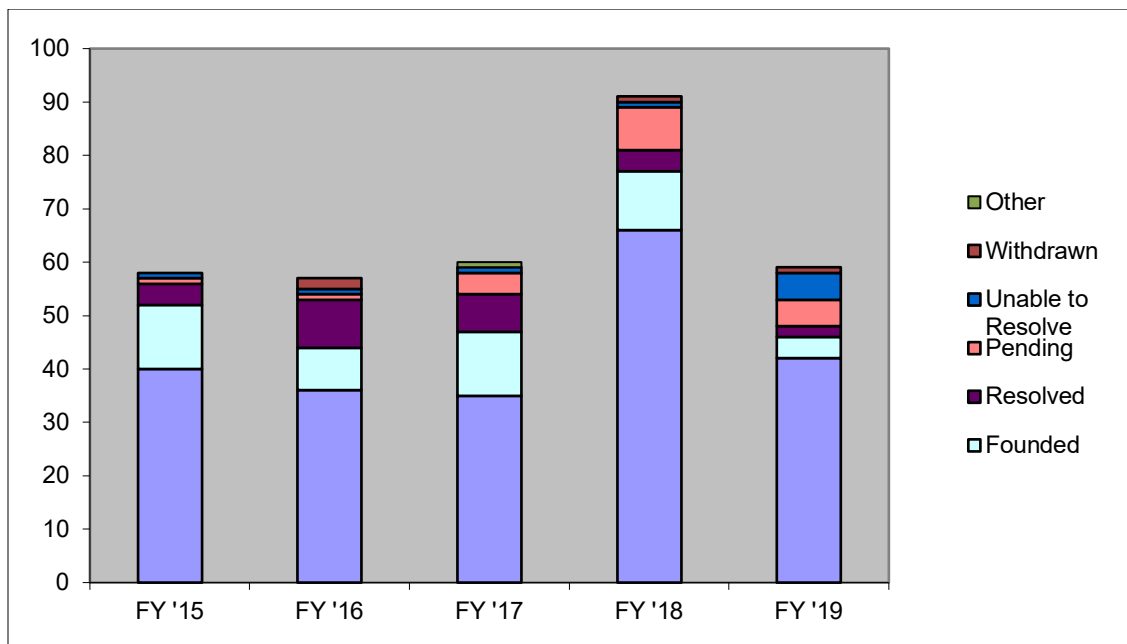
Table 10 and Figure 10 summarize the resolutions of the internal and external complaints for Fiscal Years 2015 - 2019 (as of April 7, 2020). Complaints resulting in split findings (e.g., founded as to one charge and unfounded as to another, or founded as to one respondent and unfounded as to another) are counted in both the “founded” and “unfounded” categories.

Table 10 and Figure 10
Resolution of Complaints, Internal and External Complaints, FYs 2015 - 2019

Resolution (as of April 7, 2020)	FY '15	FY '16	FY '17	FY '18	FY '19	Total, FYs '15 – '19
Unfounded/ Dismissed/ Administratively Closed/ No Probable Cause	40	36	35	66	42	219
Founded/Probable Cause	12	8	12	11	4	47
Resolved/Settled/ Agreement to Resolve	4	9	7	4	2	26
Pending *	1	1	4	8	5	19
Unable to Reach Informal Resolution **	1	1	1	1	5	9
Withdrawn/Not Pursued	0	2	0	1	1	4
Other	0	0	1	0	0	1
Total	58	57	60	91	59	325

* 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 2019

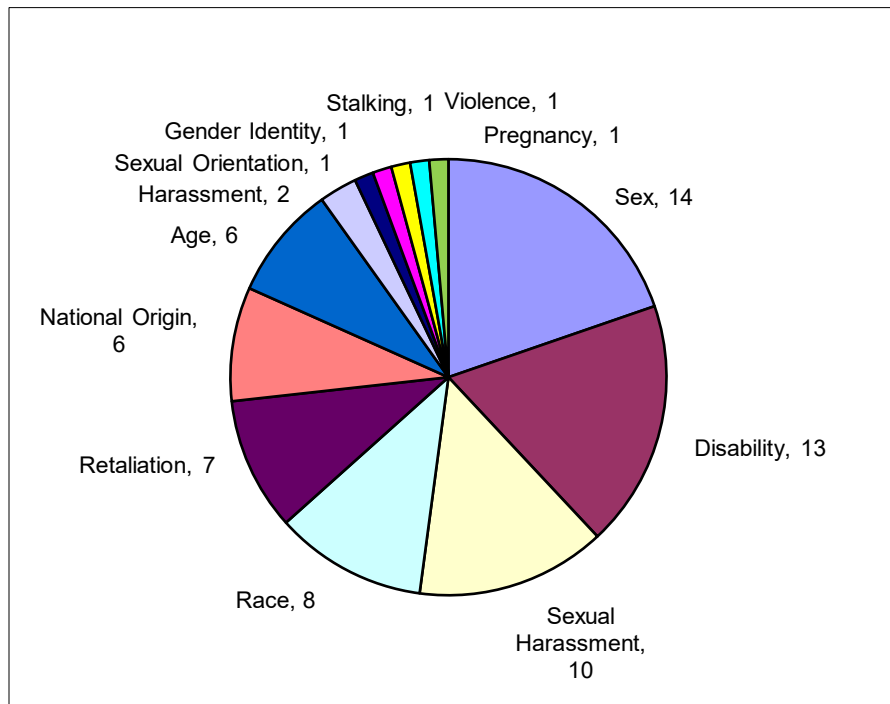
This section describes internal complaints filed with the Office of Equal Opportunity and Diversity in FY 2019.

A. Bases of the Complaints

The 40 internal complaints filed in FY 2019 were based on 71 allegations of violation of university policies. Table 11 and Figure 11 below provide a summary of the bases. The most prevalent allegations were of sex discrimination (14 complaints), disability discrimination (13 complaints), sexual harassment/sexual assault⁴ (10 complaints), and race discrimination (8 complaints).

Table 11 and Figure 11: Bases of Internal Complaints, Fiscal Year 2019

Basis	Number	Percent	Basis	Number	Percent
Sex	14	20 %	Age	6	8 %
Disability	13	18 %	Harassment	2	3 %
Sexual Harassment/Sexual Assault ³	10	14 %	Sexual Orientation	1	1 %
Race	8	11 %	Gender Identity	1	1 %
Retaliation	7	10 %	Stalking	1	1 %
National Origin	6	8 %	Violence	1	1 %
			Pregnancy	1	1 %
Total			71		



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

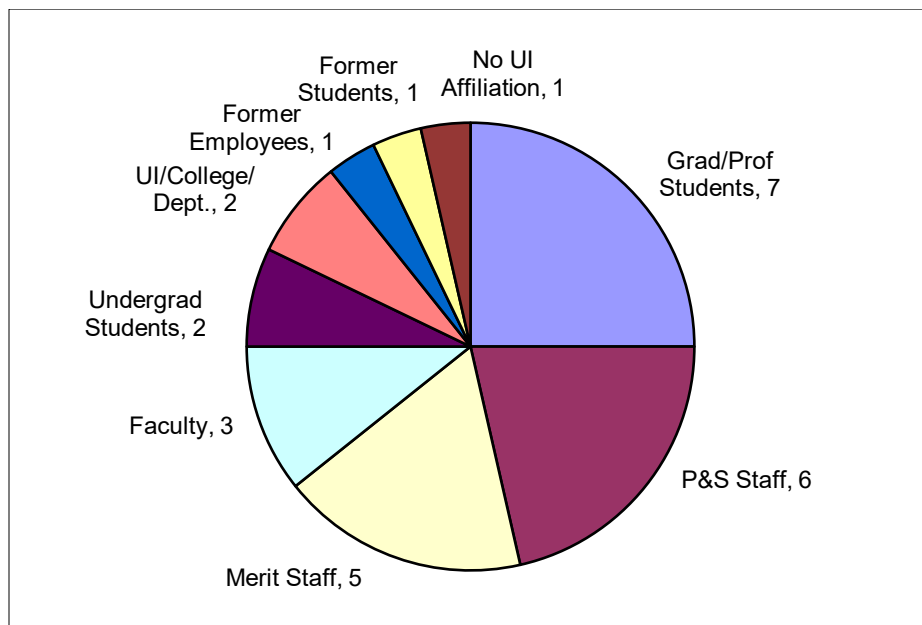
B. Complainant Characteristics

In FY 2019, 28 complainants filed internal complaints.

Complainant Status. Graduate/professional students (7 complainants), professional and scientific staff (6 complainants), and Merit staff (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 2019

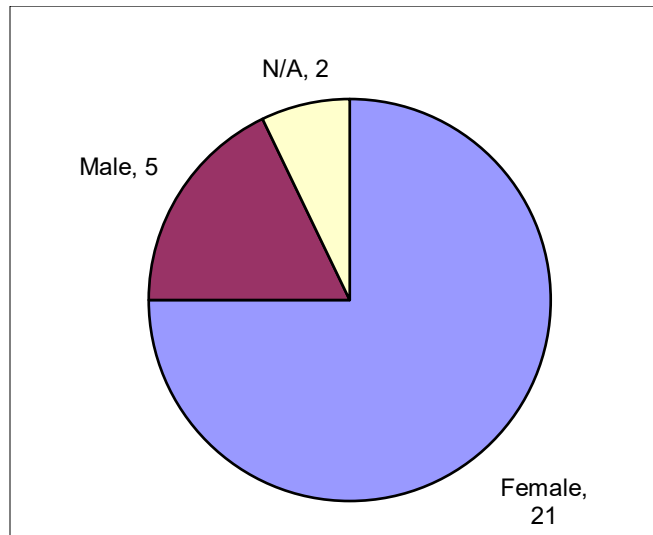
Status of Complainants	Number	Percent
Graduate/Professional Students	7	25 %
Professional & Scientific Staff	6	21 %
Merit Staff	5	18 %
Faculty	3	11 %
Undergraduate Students	2	7 %
University/College/Dept.	2	7 %
Former Employees	1	4 %
Former Students	1	4 %
No UI Affiliation	1	4 %
Total	28	



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 2019

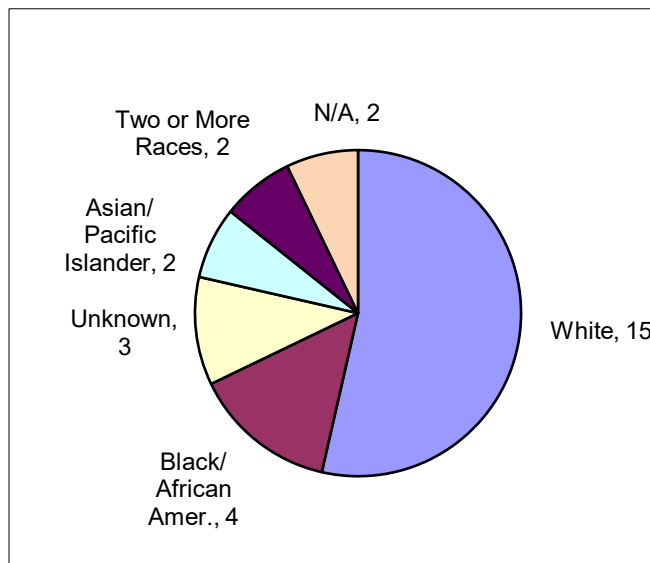
Sex of Complainants	Number	Percent
Female	21	75 %
Male	5	18 %
N/A (University/College/Dept.)	2	7 %
Total	28	



Complainant Race/Ethnicity. Table 14 and Figure 14 below show the race/ethnicity of the complainants in the internal complaints in FY 2019.

**Table 14 and Figure 14
Race/Ethnicity of Complainants, Internal Complaints, Fiscal Year 2019**

Race/Ethnicity of Complainants	Number	Percent
White	15	54 %
Black/African American	4	14 %
Unknown Race/Ethnicity	3	11 %
Asian/Pacific Islander	2	7 %
Two or More Races	2	7 %
N/A (University/College/Dept.)	2	7 %
Total	28	

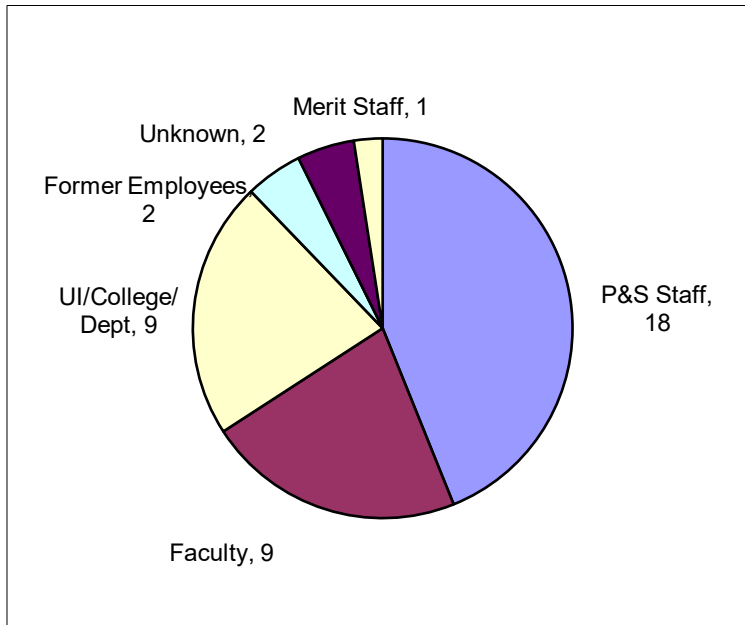


C. Respondent Characteristics

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 2019

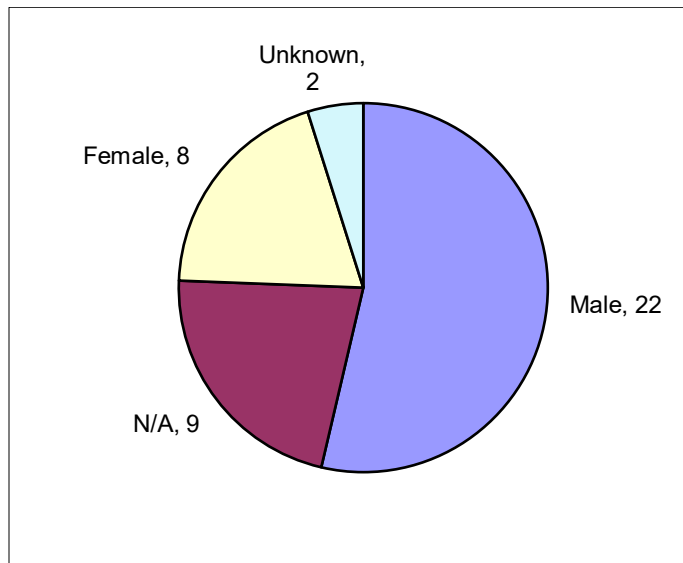
Status of Respondents	Number	Percent
Professional & Scientific Staff	18	44 %
Faculty	9	22 %
University/College/Department	9	22 %
Former Employees	2	5 %
Unknown	2	5 %
Merit Staff	1	2 %
Total	41	



Respondent Sex. Table 16 and Figure 16 below provide the sex of the respondents in the internal complaints during FY 2019.

Table 16 and Figure 16
Sex of Respondents, Internal Complaints, Fiscal Year 2019

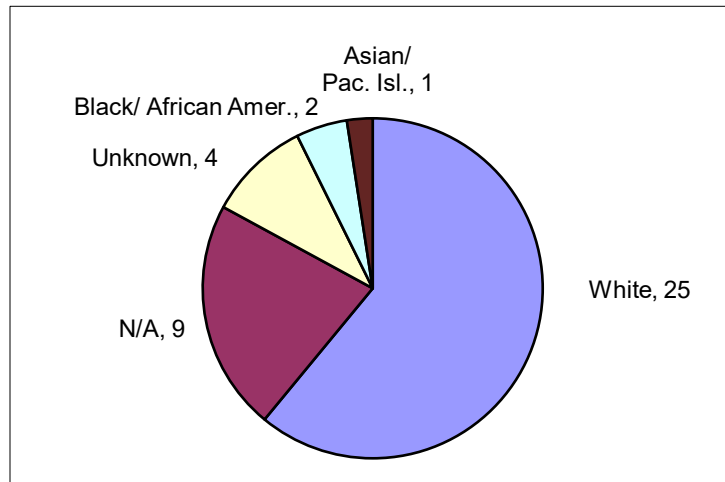
Sex of Respondents	Number	Percent
Male	22	54 %
N/A (University/College/Dept.)	9	22 %
Female	8	20 %
Unknown Sex	2	5 %
Total	41	



Respondent Race/Ethnicity. Table 17 and Figure 17 below indicate the race/ethnicity of the respondents in the internal complaints during FY 2019.

**Table 17 and Figure 17
Race/Ethnicity of Respondents, Internal Complaints, Fiscal Year 2019**

Race/Ethnicity of Respondents	Number	Percent
White	25	61 %
N/A (University/College/Department)	9	22 %
Unknown Race/Ethnicity	4	10 %
Black/African American	2	5 %
Asian/Pacific Islander	1	2 %
Total	41	

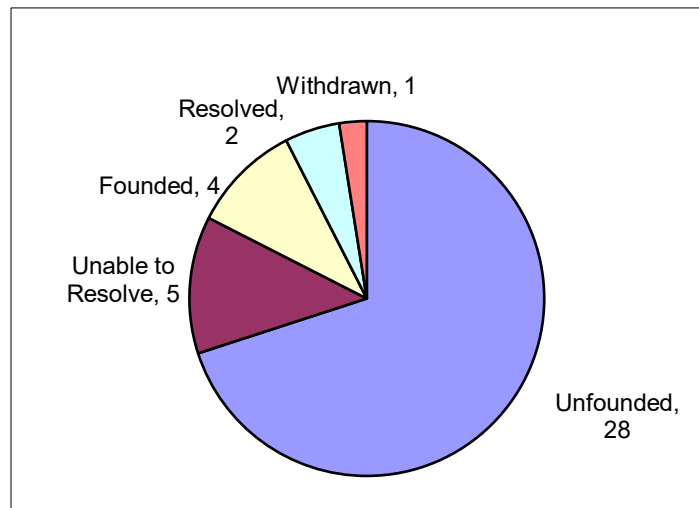


D. Resolution of the Complaints

Table 18 and Figure 18 illustrate the resolution of the 40 internal complaints.

Table 18 and Figure 18
Resolution of the Internal Complaints, Fiscal Year 2019

Resolution	Number	Percent
Unfounded	28	70 %
Unable to Resolve	5	13 %
Founded	4	10 %
Resolved	2	5 %
Withdrawn	1	3 %
Total	40	



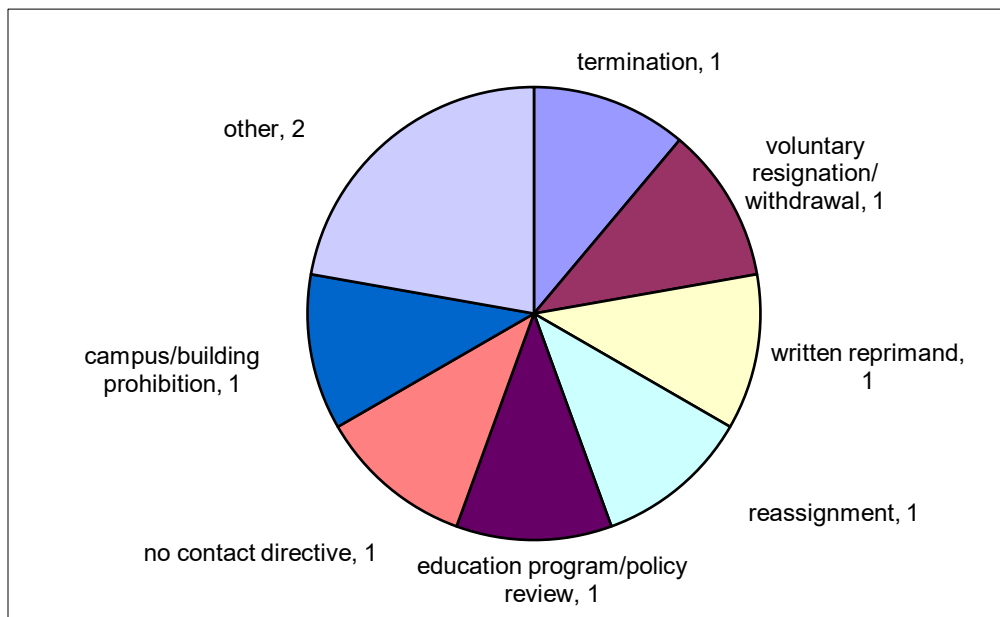
E. Discipline/Action Taken

As noted above, four of the internal complaints in Fiscal Year 2019 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 (three complaints), disability discrimination (one complaint), and stalking (one complaint). There were four respondents to the four founded complaints: three staff members and one department.

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 2019.

**Table 19 and Figure 19
Discipline/Action Taken Regarding Founded Internal Complaints, Fiscal Year 2019**

Discipline / Action Taken	Number	Percent
Termination	1	11 %
Voluntary Resignation	1	11 %
Written Reprimand	1	11 %
Reassignment	1	11 %
Educational Program/Policy Review	1	11 %
No Contact Directive	1	11 %
Campus/Building Prohibitions	1	11 %
Other Action	1	11 %
Total	9	



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 2019

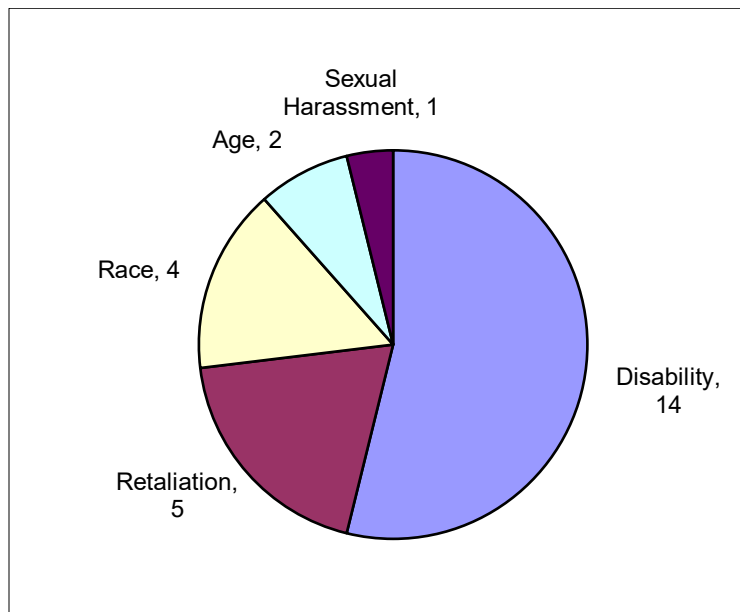
In Fiscal Year 2019, the Office of Equal Opportunity and Diversity responded to 19 external complaints filed by 11 complainants with state and/or federal civil rights enforcement agencies against the University of Iowa. Nine complaints were filed with the Iowa Civil Rights Commission, nine were filed with the Equal Employment Opportunity Commission, and one was filed with the U.S. Department of Education Office for Civil Rights.

A. Bases of the Complaints

The 19 external complaints were based on 26 charges of alleged discrimination and/or retaliation. The most prevalent allegations were of disability discrimination (14 complaints) and retaliation (5 complaints). Table 20 and Figure 20 below show the bases of the external complaints filed in FY 2019.

Table 20 and Figure 20
Bases of the External Complaints, Fiscal Year 2019

Basis	Number	Percent
Disability	14	54 %
Retaliation	5	19 %
Race	4	15 %
Age	2	8 %
Sexual Harassment	1	4 %
Total	26	



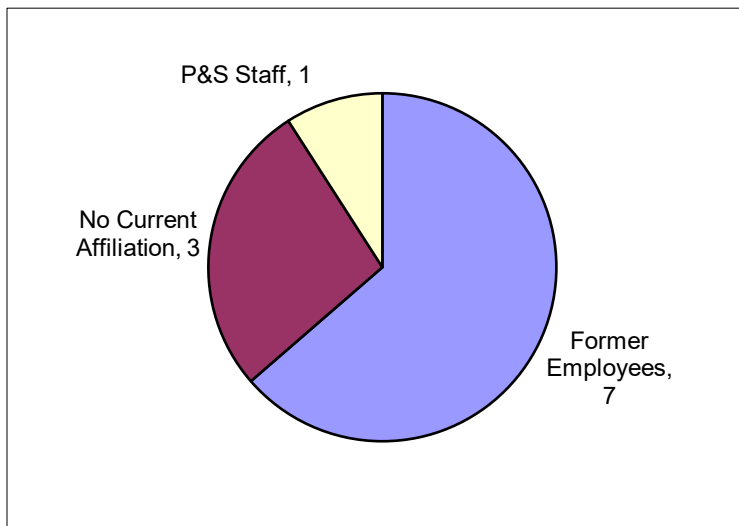
B. Complainant Characteristics

In FY 2019, 11 complainants filed external complaints.

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 2019**

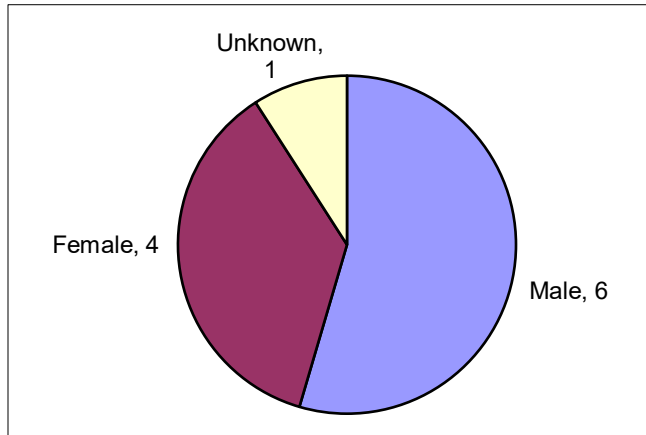
Status of Complainants	Number	Percent
Former Employees	7	64 %
No Current UI Affiliation	3	27 %
Professional & Scientific Staff	1	9 %
Total	11	



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 2019

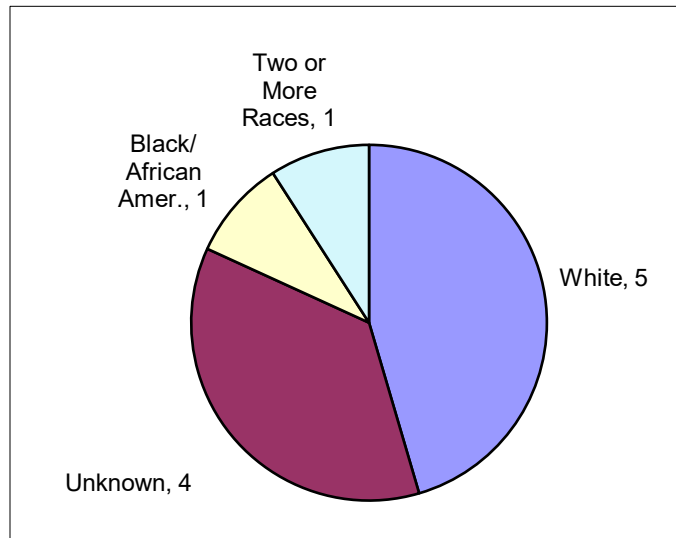
Sex of Complainants	Number	Percent
Male	6	55 %
Female	4	36 %
Unknown Sex	1	9 %
Total	11	



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 2019

Race/Ethnicity of Complainants	Number	Percent
White	5	45 %
Unknown Race/Ethnicity	4	36 %
Black/African American	1	9 %
Two or More Races	1	9 %
Total	11	

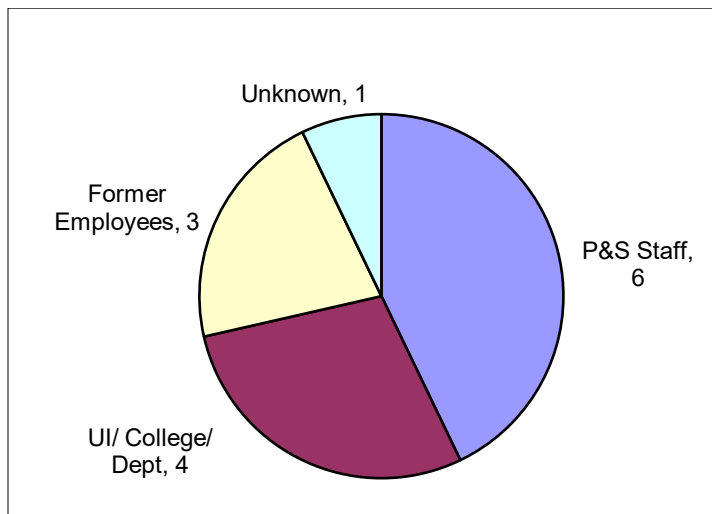


C. Respondent Characteristics

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 2019

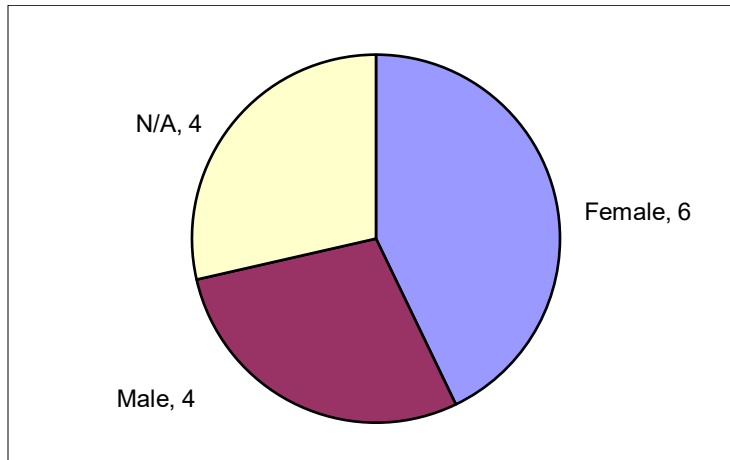
Status of Respondents	Number	Percent
Professional & Scientific Staff	6	43 %
University/College/Department	4	29 %
Former Employees	3	21 %
Unknown	1	7 %
Total	14	



Respondent Sex. Table 25 and Figure 25 below indicate the sex of the respondents in the external complaints filed during FY 2019.

**Table 25 and Figure 25
Sex of Respondents, External Complaints, Fiscal Year 2019**

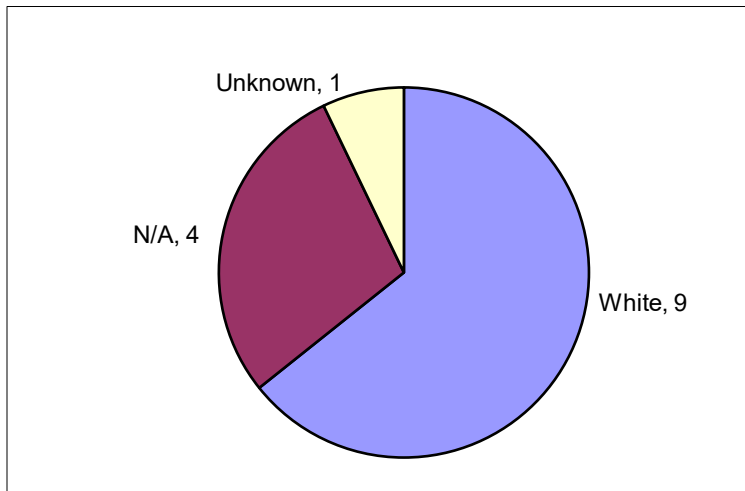
Sex of Respondents	Number	Percent
Female	6	43 %
Male	4	29 %
N/A (University/College/Dept.)	4	29 %
Total	14	



Respondent Race/Ethnicity. Table 26 and Figure 26 below indicate the race/ethnicity of the respondents in the external complaints during FY 2019.

**Table 26 and Figure 26
Race/Ethnicity of Respondents, External Complaints, Fiscal Year 2019**

Race/Ethnicity of Respondents	Number	Percent
White	9	64 %
N/A (University/College/ Dept.)	4	29 %
Unknown Race/Ethnicity	1	7 %
Total	14	

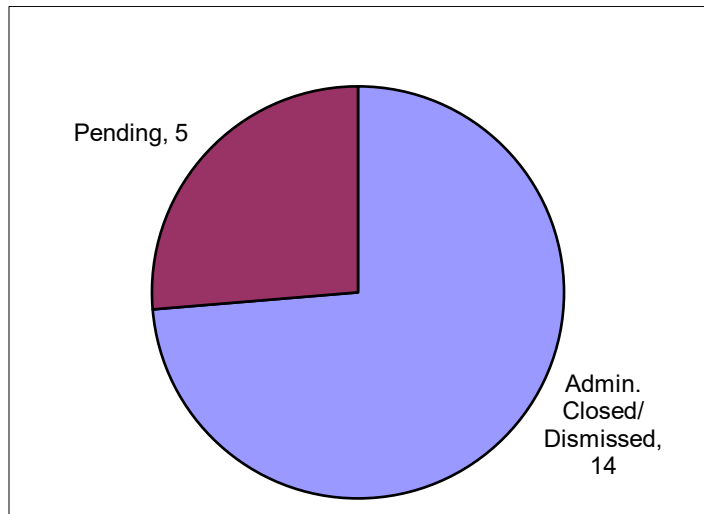


D. Resolution of the Complaints

Table 27 and Figure 27 illustrate the resolution of the external complaints (as of April 7, 2020).

Table 27 and Figure 27
Resolution of the External Complaints, Fiscal Year 2019

Resolution (as of April 7, 2020)	Number	Percent
Administratively Closed/ Dismissed	14	74 %
Pending	5	26 %
Total	19	



VII. Sexual Harassment Complaints, Fiscal Year 2019

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 a 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 2019, a total of 73 complaints of sexual harassment (including sexual assault) were filed with the Office of Equal Opportunity and Diversity (EOD) and with academic or administrative officers in other units: 10 with EOD and 63 with other units. This number represents an 18 percent decrease from the 89 complaints filed in FY 2018 and a 52 percent increase over the 48 complaints filed in FY 2015. Eight of the sexual harassment complaints filed with EOD were formal complaints, and two were informal complaints.

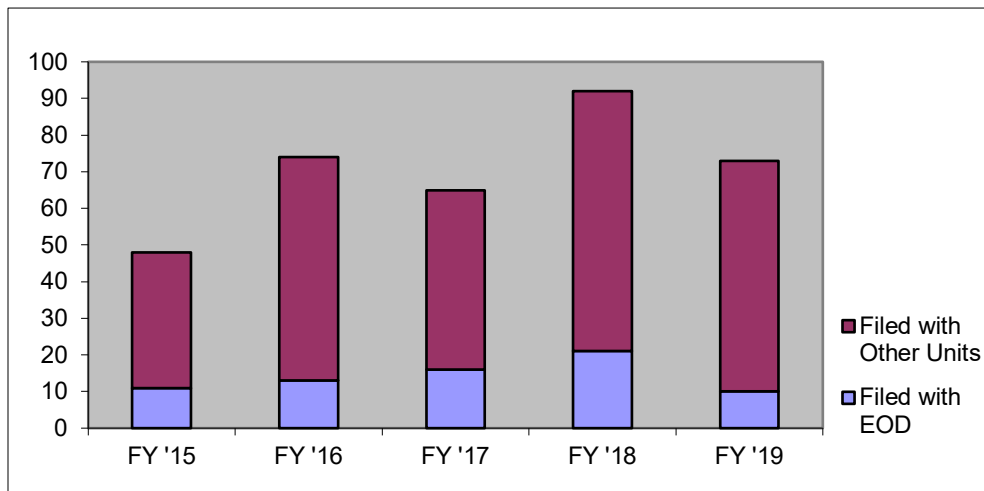
Table 28 and Figure 28 below show the numbers of sexual harassment complaints filed with EOD and with other academic or administrative units over the last five years.

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 persons' designees; directors and supervisors in an employment context; and human resources representatives.

Table 28 and Figure 28
Sexual Harassment Complaints Filed at the University of Iowa, Fiscal Years 2015 - 2019

Investigative Area	FY '15	FY '16	FY '17	FY '18	FY '19
Office of Equal Opportunity & Diversity	11	13	16	21	10
Other Academic/ Administrative Units*	37	61	49	71	63
Total	48	74	65	92	73

* 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

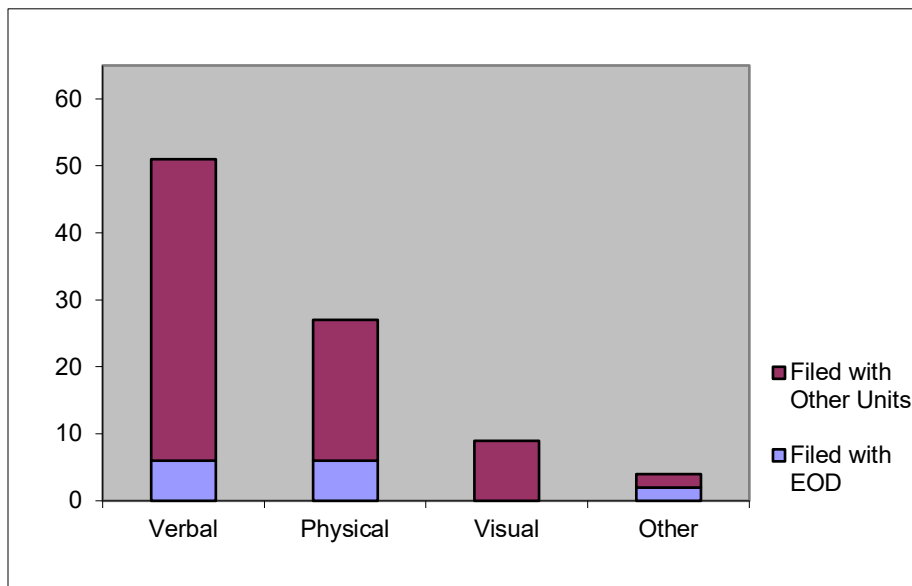
The 10 sexual harassment complaints filed with the Office of Equal Opportunity and Diversity were based on 14 categories of harassing behaviors, and the 63 informal complaints filed with other academic or administrative units were based on 77 categories of harassing behaviors.

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 2019.

Table 29 and Figure 29
Bases of Sexual Harassment Complaints, Fiscal Year 2019

Basis	Total	Filed with EOD	Filed with Other Units
Verbal Harassment	51 56 %	6 43 %	45 58 %
Physical Harassment	27 30 %	6 43 %	21 27 %
Visual Harassment	9 10 %	0	9 12 %
Other	4 4 %	2 14 %	2 3 %
Total	91	14	77



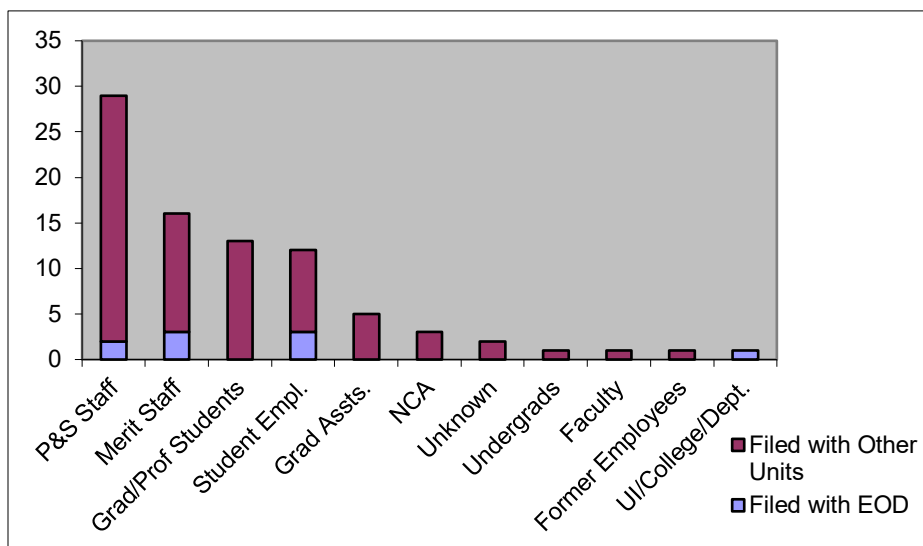
C. Complainant Characteristics

In Fiscal Year 2019, 84 complainants filed sexual harassment (including sexual assault) complaints: 9 complainants filed with EOD and 75 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 2019.

**Table 30 and Figure 30
Status of Complainants, Sexual Harassment Complaints, Fiscal Year 2019**

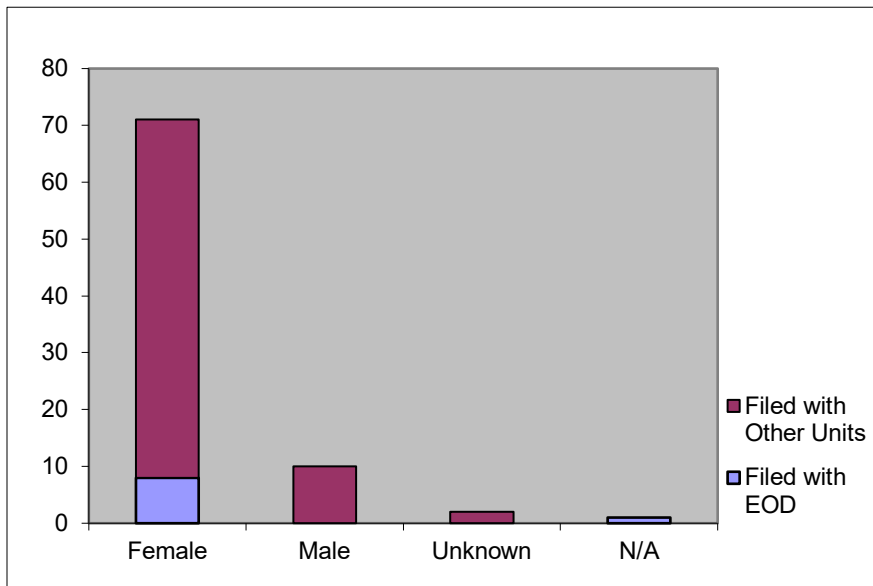
Status of Complainants	Total	Filed with EOD	Filed with Other Units
Professional & Scientific Staff	29 35 %	2 22 %	27 36 %
Merit Staff	16 19 %	3 33 %	13 17 %
Graduate/Professional Students	13 15 %	0	13 17 %
Student Employees	12 14 %	3 33 %	9 12 %
Graduate Assistants	5 6 %	0	5 7 %
No Current UI Affiliation	3 4 %	0	3 4 %
Unknown	2 2 %	0	2 3 %
Undergraduate Students	1 1 %	0	1 1 %
Faculty	1 1 %	0	1 1 %
Former Employees	1 1 %	0	1 1 %
UI/College/Department	1 1 %	1 11 %	0
Total	84	9	75



Complainant Sex. Table 31 and Figure 31 below indicate the sex of the complainants in the sexual harassment complaints filed in FY 2019.

**Table 31 and Figure 31
Sex of Complainants, Sexual Harassment Complaints, Fiscal Year 2019**

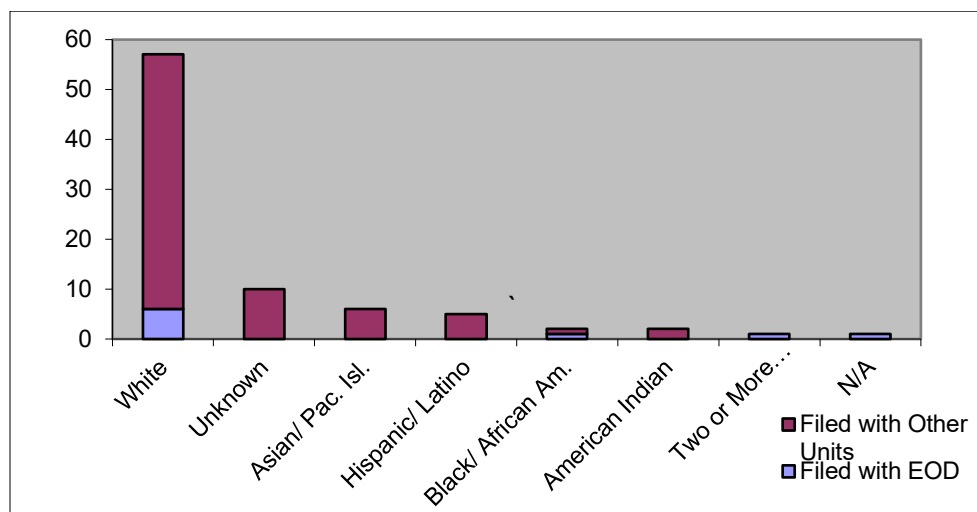
Sex of Complainants	Total	Filed with EOD	Filed with Other Units
Female	71 85 %	8 89 %	63 84 %
Male	10 12 %	0	10 13 %
Unknown	2 2 %	0	2 3 %
N/A (University/College/Dept.)	1 1 %	1 11 %	0
Total	84	9	75



Complainant Race/Ethnicity. Table 32 and Figure 32 below indicate the race/ethnicity of the complainants in the sexual harassment complaints filed in FY 2019.

Table 32 and Figure 32
Race/Ethnicity of Complainants, Sexual Harassment Complaints, Fiscal Year 2019

Race/Ethnicity of Complainants	Total	Filed with EOD	Filed with Other Units
White	57 68 %	6 67 %	51 68 %
Unknown Race/Ethnicity	10 12 %	0	10 13 %
Asian/Pacific Islander	6 7 %	0	6 8 %
Hispanic/Latino	5 6 %	0	5 7 %
Black/African American	2 2 %	1 11 %	1 1 %
American Indian/Alaska Native	2 2 %	0	2 3 %
Two or More Races	1 1 %	1 11 %	0
N/A (University/College/Dept.)	1 1 %	1 11 %	0
Total	84	9	75



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 allegations⁶ to warrant an investigation. Two of the sexual harassment complaints investigated by EOD and eleven of the sexual harassment complaints investigated by other units in FY 2019 were brought forward by third parties.

⁶ In January 2020, the Sexual Harassment Policy was revised, with “must state specific and credible allegations” replaced with “must specify the allegations”.

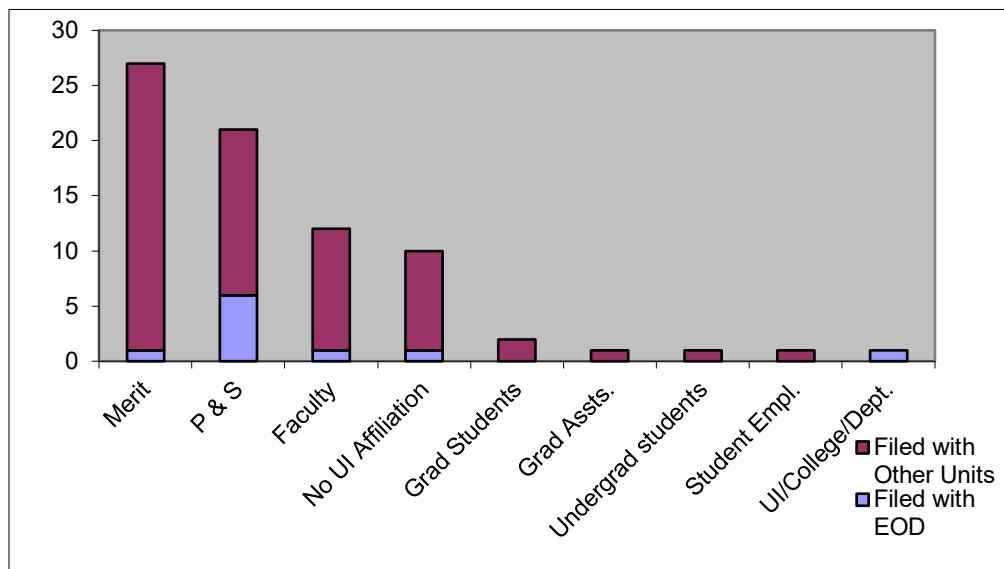
E. Respondent Characteristics

There were 76 respondents to sexual harassment (including sexual assault) complaints in FY 2019: 10 respondents to complaints investigated by Office of Equal Opportunity and Diversity and 66 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 2019.

Table 33 and Figure 33
Status of Respondents, Sexual Harassment Complaints, Fiscal Year 2019

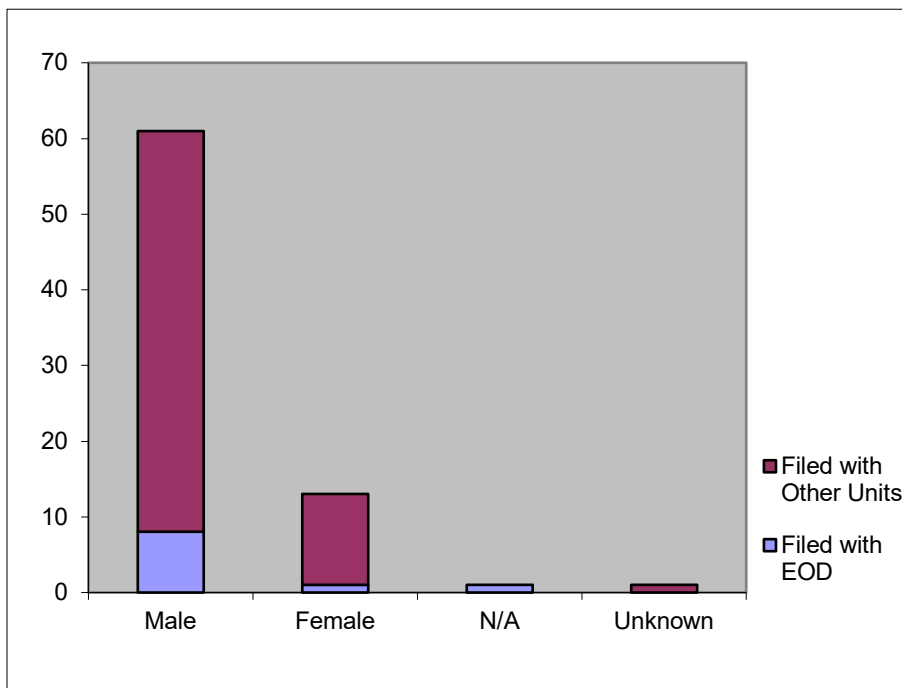
Status of Respondents	Total	Filed with EOD	Filed with Other Units
Merit Staff	27 36 %	1 10 %	26 39 %
Professional & Scientific Staff	21 28 %	6 60 %	15 23 %
Faculty	12 16 %	1 10 %	11 17 %
No UI Affiliation	10 13 %	1 10 %	9 14 %
Graduate/Professional Students	2 2 %	0	2 3 %
Graduate Assistants	1 1 %	0	1 2 %
Undergraduate Students	1 1 %	0	1 2 %
Student Employees	1 1 %	0	1 2 %
UI/College/Department	1 1 %	1 10 %	0
Total	76	10	66



Respondent Sex. Table 34 and Figure 34 below indicate the sex of the respondents in the sexual harassment complaints filed in FY 2019.

**Table 34 and Figure 34
Sex of Respondents, Sexual Harassment Complaints, Fiscal Year 2019**

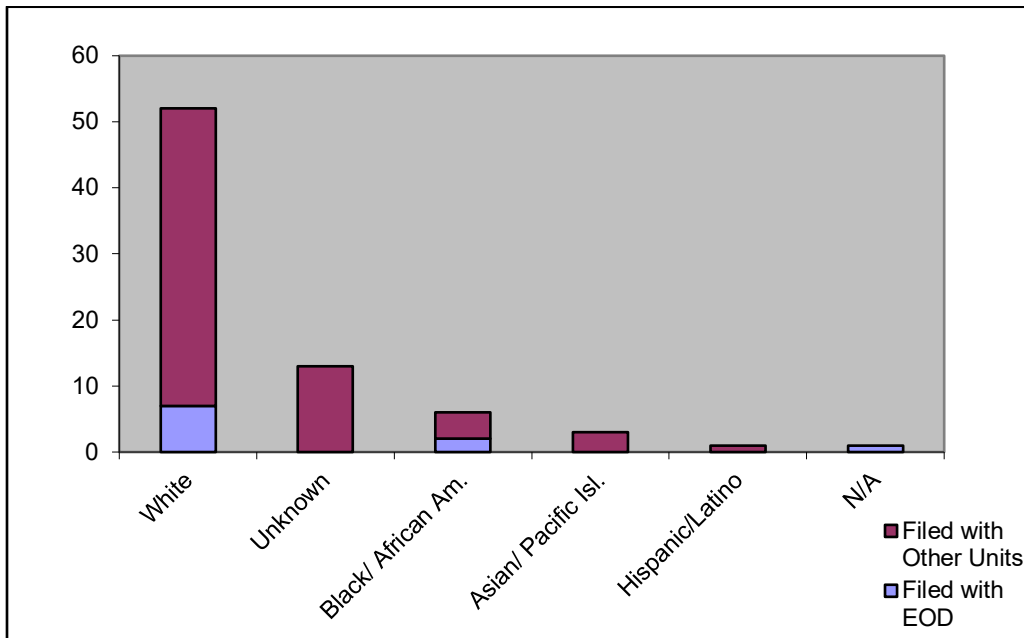
Sex of Respondents	Total	Filed with EOD	Filed with Other Units
Male	61 80 %	8 80 %	53 80 %
Female	13 17 %	1 10 %	12 18 %
N/A (University/College/Dept.)	1 1 %	1 10 %	0
Unknown	1 1 %	0	1 2 %
Total	76	10	66



Respondent Race/Ethnicity. Table 35 and Figure 35 below indicate the race/ethnicity of the respondents in the sexual harassment complaints filed in FY 2019.

**Table 35 and Figure 35
Race/Ethnicity of Respondents, Sexual Harassment Complaints,
Fiscal Year 2019**

Race/Ethnicity of Respondents	Total	Filed with EOD	Filed with Other Units
White	52 68 %	7 70 %	45 68 %
Unknown Race/Ethnicity	13 17 %	0	13 20 %
Black/African American	6 8 %	2 20 %	4 6 %
Asian/Pacific Islander	3 4 %	0	3 5 %
Hispanic/Latino	1 1 %	0	1 2 %
N/A (University/College/Dept.)	1 1 %	1 10 %	0
Total	76	10	66

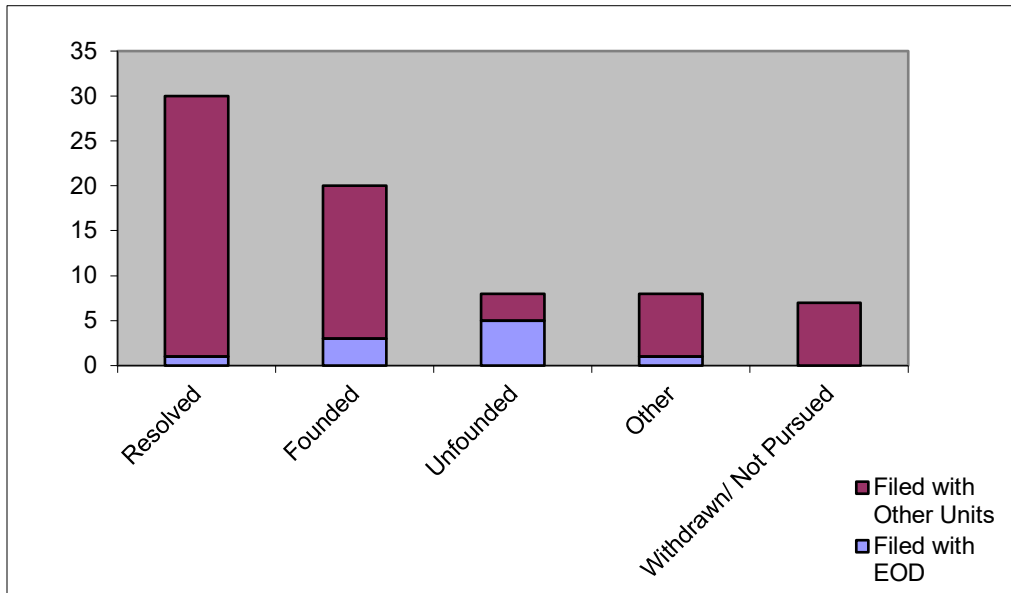


F. Resolution of the Complaints

Table 36 and Figure 36 illustrate the findings of sexual harassment (including sexual assault) complaints filed in FY 2019.

**Table 36 and Figure 36
Resolution of Sexual Harassment Complaints, Fiscal Year 2019**

Resolution	Total	Filed with EOD	Filed with Other Units
Resolved/Settled	30 41 %	1 10 %	29 46 %
Founded	20 27 %	3 30 %	17 27 %
Unfounded	8 11 %	5 50 %	3 5 %
Other	8 11 %	1 10 %	7 11 %
Withdrawn/Not Pursued	7 10 %	0	7 11 %
Total	73	10	63



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 2019. As noted in Table 36, there were 20 founded sexual harassment complaints in FY 2019; of these, three were filed with the Office of Equal Opportunity and Diversity and 17 were filed with other units.

Table 37 and Figure 37
Discipline/Action Taken Regarding Sexual Harassment Complaints, Fiscal Year 2019

Discipline / Action Taken	Total	Filed with EOD	Filed with Other Units
Termination	7 8 %	1 8 %	6 8 %
Voluntary Resignation/Withdrawal	5 6 %	2 15 %	3 4 %
Suspension	1 1 %	0	1 1 %
Written Reprimand	12 14 %	2 15 %	10 14 %
Verbal Reprimand	2 2 %	0	2 3 %
Reassignment	6 7 %	1 8 %	5 7 %
Educational Program/Policy Review	32 38 %	2 15 %	30 42 %
No Contact Directive	2 2 %	1 8 %	1 1 %
Campus/Building Prohibitions	1 1 %	1 8 %	0
Other Action	16 19 %	3 23 %	13 18 %
Total	84	13	71

