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SEMI-ANNUAL CLAIMS ACTIVITY REPORTS: JULY 1, 2021 – DECEMBER 31, 2021

Action Requested: Receive the semi-annual claims activity reports for the period of July 1, 2021 through December 31, 2021.

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

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

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

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

Office of the Board of Regents, State of Iowa

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to the Board Office for the July 1, 2021 through December 31, 2021 time period and compares those numbers to prior periods.

Type of Claim Pending	12/18	06/19	12/19	6/20	12/20	6/21	12/21
1. Litigation	2	1	0	1	1	1	0
2. Contract and Tort Claims	0	0	0	0	0	0	0
3. Administrative Agencies	0	0	0	0	0	0	0
4. Workers' Compensation	0	0	0	0	0	0	0
5. Internal Discrimination Complaints	0	0	0	0	0	0	0
6. Faculty and P&S Grievances & Discipline	0	0	0	0	0	0	0
7. Merit Grievances	0	0	0	0	0	0	0

University of Iowa

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to the University of Iowa for the July 1, 2021 through December 31, 2021 time period, and compares those numbers to prior periods.

Type of Claim Pending	12/18	06/19	12/19	06/20	12/20	06/21	12/21
1. Litigation	24	25	19	24	26	20	12
2. Contract and Tort Claims	17/14	25/5	27/4	27/3	23/2	23/1	14/0
3. Administrative Agencies	29	28	27	28	30	32	44
4. Workers' Compensation	774	794	838	638	668	661	704
5. Internal Discrimination Complaints	8	8	8	12	2	7	12
6. Faculty and P&S Grievances & Discipline	4	3	3	2	2	1	2
7. Merit Grievances	12	13	19	18	13	12	13
8. UIHC Tort Claims	22	21*	26	28	36	44	33
9. UIHC Lawsuits	25	29	25	24	22	22	26

1. Litigation

Developments, Trends and Reasons for Occurrence: This report includes a listing of all lawsuits that were still pending on December 31, 2021. Ten (10) lawsuits were dismissed, settled or otherwise adjudicated during this period and will be deleted from the next report. Three (3) new lawsuits were filed during this period. As of December 31, 2021, there are twelve (12) pending lawsuits. No discernable trend can be identified.

2. Contract and Tort Claims

Developments, Trends and Reasons for Occurrence:

Tort Claims: During this reporting period, ten (10) claims were denied/recommended for denial, withdrawn or settled and will be deleted from the next report. Seven (7) new tort claims were filed during this period. As of December 31, 2021, there are zero (0) pending tort claims. No discernable trend can be identified.

Contract Claims: This report includes a listing of twenty-three (23) claims. During this period, nine (9) contract claims were paid. Zero (0) were filed. Zero (0) were amended. There are fourteen (14) pending claims. No discernable trend can be identified.

3. Administrative Agencies

Developments, Trends and Reasons for Occurrence: Eleven (11) administrative agency claims were settled or administratively closed in this time period and fourteen (14) new claims were filed. As of December 31, 2021, forty-four (44) cases were pending.

4. Workers' Compensation Claims

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

5. Internal Discrimination Complaints

Developments, Trends and Reasons for Occurrence: The number of pending cases during this reporting period is twelve (12).

6. Faculty and P&S Grievances and Disciplinary Cases

Developments, Trends and Reasons for Occurrence: There were two (2) faculty, one (1) P&S, zero (0) SNAHP and zero (0) COGS grievances filed during this period. The number of active cases is two (2).

7. Merit Grievances

Developments, Trends and Reasons for Occurrence: There were six (6) grievances filed during this reporting period. The number of active cases is thirteen (13).

8. UIHC Tort Claims²

Developments, Trends and Reasons for Occurrence: During this period, seventeen (17) tort claims were denied, withdrawn or settled and will be deleted from the next report. Six (6) of these tort claims have now been filed as lawsuits (and are also listed in that section of the report). Six (6) new tort claims were filed during this period. As of December 31, 2021, there are thirty-three (33) pending tort claims.

9. UIHC Lawsuits

Developments, Trends and Reasons for Occurrence: Seven (7) lawsuits were dismissed, settled or otherwise adjudicated during this period and will be deleted from the next report. Twelve (12) new lawsuits were filed during this period. As of December 31, 2021, there are twenty-five (25) pending lawsuits.

² Does not include small claims addressed by UIHC pursuant to a 28E Agreement with the Department of Justice. During this reporting period, one (1) 28E Agreement tort claim were settled directly by UIHC.

Iowa State University

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to Iowa State University for the July 1, 2021 through December 31, 2021 time period and compares those numbers to prior periods.

Type of Claim Pending	12/18	06/19	12/19	06/20	12/20	06/21	12/21
1. Litigation	16	15	10	10	8	7	9
2. Contract and Tort Claims	19	16	11	9	12	16	14
3. Administrative Agencies	10	9	8	8	8	7	10
4. Workers' Compensation	141	165	156	118	123	113	115
5. Internal Discrimination Complaints	15	15	7	2	0	0	0
6. Faculty and P&S Grievances & Discipline	14	8	9	14	9	10	10
7. Merit Grievances	1	1	0	0	2	1	1

1. Litigation

Developments, Trends and Reasons for Occurrence: In this reporting period, three (3) new lawsuits were filed. Four (4) matters are scheduled for trial in 2022.

2. Contract and Tort Claims

Developments, Trends and Reasons for Occurrence: There are four (4) tort claims pending at the close of this reporting period claim significant damages over \$100,000. There is one (1) contract claim currently on file.

3. Administrative Agencies

Developments, Trends and Reasons for Occurrence: Five (5) new complaints were filed this period.

4. Workers' Compensation Claims

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

5. Internal Discrimination Complaints

Developments, Trends and Reasons for Occurrence: No internal discrimination complaints were filed against faculty or staff during this period.

6. Faculty and P&S Grievances and Disciplinary Cases

Developments, Trends and Reasons for Occurrence: Of the six (6) faculty matters, one (1) matter remains pending at the close of the reporting period. Four (4) P&S disciplinary cases/grievances were received during this reporting period.

7. Merit Grievances

Developments, Trends and Reasons for Occurrence: One (1) merit grievance was resolved during this reporting period.

University of Northern Iowa

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to the University of Northern Iowa for the July 1, 2021 through December 31, 2021 reporting period, and compares those numbers to prior periods.

Type of Claim Pending	12/18	06/19	12/19	06/20	12/20	06/21	12/21
1. Litigation	5	5	6	6	7	7	3
2. Tort and Contract Claims	5	6	2	7	2	1	1
3. Administrative Agencies	2	1	2	1	2	6	7
4. Workers' Compensation	61	72	55	46	38	35	53
5. Internal Discrimination Complaints	15	18	22	11	5	5	8
6. Faculty & P&S Grievances & Discipline	0	2	1	1	1	2	3
7. Merit Grievances	0	1	44	42	0	0	0

1. Litigation

Developments, Trends and Reasons for Occurrence: The number of lawsuits has decreased for the current reporting period. There are no apparent trends evidenced by the issues presented in the cases. One (1) of the three (3) cases involves all of the Regents' universities.

2. Tort and Contract Claims

Developments, Trends and Reasons for Occurrence: The number of claims for this period is relatively small and is the same as the immediately prior period. The number of claims is fairly consistent with the University's recent experience in this area. No trends are identified or apparent by the number of claims, or the type or subject-matter of the claim(s).

3. Administrative Agencies

Developments, Trends and Reasons for Occurrence: The number of complaints filed outside of the University, with administrative agencies, is slightly higher than the immediately prior period. The University will continue to review the claims in this category to determine if there are any trends or consistent issues requiring additional work.

4. Workers' Compensation Claims

Developments, Trends and Reasons for Occurrence: The number of workers' compensation claims filed during the reporting period increased in comparison with the immediately prior period(s). However, the number of claims is not inconsistent with past experience. There are no readily apparent trends relating to the workers' compensation claims data at this time.

5. Internal Discrimination Complaints/Investigations

Developments, Trends and Reasons for Occurrence: The number of complaints reflected in this category increased from the prior two periods but is not inconsistent with prior experience. The University strives to handle all of these complaints in a timely and appropriate manner, and will continue to review this area and these types of complaints for any indication of trends and/or need for changes or improvements.

6. Faculty and P&S Grievances and Disciplinary Cases

Developments, Trends and Reasons for Occurrence: The number of grievances or cases in this category increased slightly from the prior period. The number of grievances is not large and is fairly consistent with prior periods. No trend or consistent issue is reflected by the grievances in this category.

7. Merit Grievances

Developments, Trends and Reasons for Occurrence: The number of Merit employee grievances was the same as the two immediately prior periods. The University will continue to review grievances in this area for trends or other issues.

Iowa Educational Services for the Blind and Visually Impaired

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to the Iowa Educational Services for the Blind and Visually Impaired for the July 1, 2021 through December 31, 2021 time period, and compares those numbers to prior periods.

Type of Claim Pending	12/18	06/19	12/19	06/20	12/20	06/21	12/21
1. Litigation	0	0	0	0	0	0	0
2. Contract and Tort Claims	0	0	0	0	0	0	0
3. Administrative Agencies	0	0	0	0	0	0	0
4. Workers' Compensation	5	2	0	1	2	0	1
5. Internal Discrimination Complaints	0	0	0	0	2	0	0
6. Faculty and P&S Grievances & Discipline	0	0	0	0	0	0	0
7. Merit Grievances	0	0	0	0	0	0	0

During the current reporting period, IESBVI had one (1) workers' compensation claim.

Iowa School for the Deaf

Executive Summary: The following table summarizes the number of cases, claims, complaints and grievances applicable to the Iowa School for the Deaf for the July 1, 2021 through December 31, 2021 time period, and compares those numbers to prior periods.

Type of Claim Pending	12/18	06/19	12/19	06/20	12/20	06/21	12/21
1. Litigation	0	0	0	0	0	0	0
2. Contract and Tort Claims	0	0	0	0	0	0	0
3. Administrative Agencies	0	0	0	0	0	0	0
4. Workers' Compensation	3	3	6	5	1	5	4
5. Internal Discrimination Complaints	0	0	0	0	0	0	1
6. Faculty and P&S Grievances & Discipline	0	0	0	0	0	0	0
7. Merit Grievances	0	0	0	0	0	0	0

4. Workers' Compensation

Developments, Trends and Reasons for Occurrence: ISD had four (4) workers compensation claims during this period.