

Office of Institutional Equity

2020 Annual Report



JOHNS HOPKINS
UNIVERSITY



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I. Introduction

Greetings to the Johns Hopkins community and thank you for your interest in our annual report. The Office of Institutional Equity (OIE) welcomes this opportunity to share information about the work performed in our office. Our annual report illustrates our efforts and ongoing commitment to the university community to foster an environment that is inclusive, respectful, and free from discrimination, harassment, and sexual misconduct.

The year 2020 was unique for many reasons. We received 593 reports to our office—a significant drop from 2019 when we received 924 reports.¹ Of the 593 reports, 52% involved allegations of discrimination or harassment based on a protected class, such as race or religion, while 37% alleged some form of sexual misconduct.² We attribute the decrease in reports to the COVID-19 pandemic and to the transition, beginning in mid-March 2020, of the majority of our community (both students and employees) to working and learning remotely. This change forced us to make some adjustments to our workflow and to adopt new processes. Like the rest of the world, we made our meetings virtual—including our interviews and deliberations. Our staff rose to the occasion and quickly settled into performing their work 100% off campus.



MESSAGE FROM:
Shanon Shumpert
Vice Provost
Institutional Equity

¹ See Appendix A for report data from 2018–2020.

² 3% of reports included both allegations of sexual misconduct and allegations of discrimination or harassment. The remaining 8% did not include allegations covered by OIE policies, and these matters were promptly routed to the appropriate offices for handling.



As we prepared this annual report, and reflected on the 2020 case data, it is worth highlighting these noteworthy statistics:

While we received fewer reports in 2020 (593 compared to 924 in 2019), a greater percentage of reports became OIE cases and led to initiation of an OIE process; in fact, in 2020, 46% of reports became OIE cases, while in 2019, 37% of reports became OIE cases;³

- While most constituents performed remote work from mid-March through the end of the year, some individuals were asked to return to campus to perform their work. This resulted in an immediate spike in requests for disability-related workplace accommodations. OIE processed 337 requests for disability-related workplace accommodations in 2020, as compared to 252 in 2019;
- 54% of the reports to OIE came from “responsible employees” who are required to inform OIE of all instances of harassment, discrimination, or sexual misconduct that they observe or that are brought to their attention; and
- OIE’s staffing remained the same in 2020, but we reduced our time to complete investigations from 208 days in 2019 to 120 days in 2020.

I came on board as vice provost for the office in July 2020, right in the midst of the changes necessitated by COVID-19. The staff worked to quickly orient me and bring me up-to-speed on the work and the obstacles they were facing. Together, we established and exceeded process improvement goals and, despite the challenges, had a very productive year. In addition to working on our processes, we updated our Sexual Misconduct Policy & Procedures to align with the Title IX regulations that became effective Aug. 14, 2020. And, we focused on necessary infrastructure changes to support the hearing process required under the August 2020 regulations.

Look for ongoing improvements in 2021 when we will introduce more changes to our annual report. First and foremost, we are committed to publishing future annual reports much more quickly than we have in past years, ideally within the first quarter of the following year. Also, in response to feedback from students, our next annual report will include carve-outs to allow for differentiation between student data and employee data.

Please visit our website, oie.jhu.edu for more information about our office and our policies and procedures. If you have any questions about this annual report, please contact our office at oie@jhu.edu.

³ See Definitions of Key Terms on page 6 to learn more about the distinction between an OIE “report” and an OIE “case.”



II. OIE Team & Resources

We have 15 full-time employees on the OIE team. In addition to the vice provost and the assistant vice provost/Title IX coordinator, we have seven equity compliance investigators, an ADA compliance officer, and five other key staff members who support the work of our office. Our investigators and our ADA compliance officer are attorneys, licensed to practice law in one or more states. For detailed information on our staff, including our biographies, please visit our website:

oie.jhu.edu/contact-us/oie-staff/index.html

OIE's work is also supported by a community of university partners that provide resources and support to students, faculty, and staff who have concerns about sexual misconduct, discrimination, harassment, and retaliation. Some of these resources are listed below:⁴

JHU Student Health and Wellness Center

410-516-8270

studentaffairs.jhu.edu/student-health

Provides high-quality, confidential health care to Homewood and Peabody students

JHU Sexual Assault Hotline

410-516-7333

Provides confidential assistance to students affected by sexual assault, relationship violence, and/or stalking

JHU Counseling Center

410-516-8278

Provides emotional support and assistance for mental health needs for Homewood and Peabody students

mySupport

443-997-7000

hr.jhu.edu/benefits-worklife/support-programs/

Provides professional, confidential, short-term counseling to faculty, staff, and their immediate family members

University Health Services (UHS)

410-955-3250

hopkinsmedicine.org/uhs

Provides medical, mental health, and wellness services to students, residents, fellows, trainees, and their immediate family members on the Johns Hopkins East Baltimore campus

Speak2Us/Ethics & Compliance Hotline

1-844-SPEAK2US (1-844-773-2528)

24/7 hotline to report concerns about unethical or illegal acts that are detrimental to JHU and harmful to patients, students, faculty, staff, and visitors.

Campus Safety & Security

410-516-4600 (Campus Security)

410-516-7777 (Campus Police)

security.jhu.edu

On-campus safety alerts and other safety concerns

Student Assistance Program (JHSAP)

443-287-7000

jhsap.org

Provides support to graduate students by helping to manage life challenges and enhance emotional well-being

Accommodation Requests Student Disability Services:

oie.jhu.edu/ada-compliance/request-accommodations/

Employee Accommodations:

oie.jhu.edu/ada-compliance/request-accommodations-employees/

Religious:

oie.jhu.edu/religious-accommodations/

⁴ For additional confidential resources—both on and off campus—visit OIE's website: sexualmisconduct.jhu.edu/policies-laws/Confidential-Resources



III. Definitions of Key Terms in Annual Report

Please refer to the definitions below to help you understand how we are using the terms in this document⁵:

Complainant: The alleged victim of sexual misconduct or other protected-class discrimination and harassment, whether reported by the alleged victim or by a third party.

Respondent: The party about whom a report was made. This refers to the person alleged to have engaged in sexual misconduct or other protected-class discrimination and harassment.

Report: Includes all instances where concerns or information are presented to OIE for the purpose of review and follow-up. Reports include allegations of sexual misconduct and/or protected-class-based discrimination and harassment. Reports also include instances where no sexual misconduct or protected-class-based conduct is alleged, in which case OIE routes the report to the appropriate office or individual for proper handling. OIE counts reports based on the number of individual outcomes that could result. For example, if Person A simultaneously makes allegations against both Person B and Person C, this would be considered two reports, as there will be an outcome for both Person A's allegations against Person B and Person A's allegations against Person C.

Case: A report becomes a case only after it is determined that (1) OIE has authority over the subject matter of the report and the respondent; (2) the complainant is engaged and requests an OIE response, or the information in the report indicates that an OIE response is needed even without a complainant's engagement and participation; and (3) OIE has or is able to gather sufficient additional information to further address the concern via OIE procedures. A case may be resolved in the assessment phase, by informal resolution, or by formal investigation, as described further below.

Sexual Misconduct: This term includes sexual harassment, sexual assault, relationship violence, and stalking. In addition, effective Aug. 14, 2020, "sexual misconduct" was broadened to include sex/gender-based harassment (in addition to sexual harassment).

Protected-Class Discrimination and Harassment: This term includes discrimination and/or harassment in any university program or activity that is related to a person's age, color, disability, ethnicity, gender identity or expression, pregnancy, immigration status, marital status, military status, national origin, race, religion, sex, sexual orientation, veteran status, or other legally protected characteristic.⁶

Assessment: OIE conducts an assessment of each case to determine the appropriate next steps. Some cases are closed in the assessment phase if they do not meet the criteria for a formal OIE investigation and/or if an informal resolution is not appropriate.

⁵ For a visual diagram of this information, please refer to page 9 of this annual report.

⁶ Until Aug. 14, 2020, this term also included nonsexual gender and sex/gender-based harassment, but such harassment is now considered "sexual misconduct." Sex/gender-based discrimination (also known as disparate treatment) continues to be considered protected-class discrimination.



Informal Resolution: If the complainant and respondent agree, certain cases may be resolved informally with OIE’s approval. Cases involving allegations of sexual assault are generally not suitable for informal resolution.

Formal Investigation: A case will typically proceed to a formal investigation when (1) it could constitute a violation of a policy under OIE authority; (2) a complainant is engaged and wishes to proceed with formal investigation (or, in rare cases, when OIE has a responsibility to take further action even without the complainant’s agreement); and (3) OIE has or can obtain sufficient information to proceed with an investigation. The investigation will determine whether there has been a violation of policy.

Responsible Employee: A “responsible employee” is an employee of the university who is required to inform OIE if they become aware of information or allegations about sexual misconduct, protected-class discrimination or harassment, or retaliation. “Responsible employees” include faculty, coaches, resident advisers, human resources personnel, all supervisory employees, and others designated by university policy.

Confidential Resource: A confidential resource is a formal university designation given to certain university employees/departments exempt from any responsible employee obligations under OIE’s policies. Confidential resources do not have to report discrimination, harassment, or retaliation to the university. Confidential resources include mental health providers and staff, health care providers and staff, pastoral counselors and staff, and any other persons who have a legal obligation to protect confidentiality when acting in a professional capacity unless there is an imminent threat to health or safety, or other basis for disclosure pursuant to law. Confidential resources designated by the university include providers and staff at the Johns Hopkins Counseling Center, the Johns Hopkins Student Assistance Program, the Faculty and Staff Assistance Program, University Mental Health Services, student health centers operated by the university, the associate director of student well-being, the gender violence prevention and education specialist, as well as chaplains and staff at the Bunting Meyerhoff Interfaith and Community Service Center. Confidential resources serve in that role at all times regardless of setting or specific activity.

IV. The Year in Review

The Johns Hopkins University Office of Institutional Equity is the university’s central resource for addressing complaints of discrimination, harassment, and sexual misconduct. In addition, the Office of Institutional Equity (OIE) is responsible for managing staff and faculty requests for disability-related accommodations⁷ and all requests for religious accommodations from students, staff, and faculty.

In 2020, 593 reports came to OIE for resolution. This represents a significant decrease compared to the 924 reports received in 2019. The decrease in reports can very likely be attributed to the impact of the COVID-19 pandemic, which resulted in a majority of the Johns Hopkins University community members—both students and employees—learning and working remotely from March 2020 through the end of the year.

⁷ Student requests for disability-related accommodations are handled by Student Disability Services.



Of the 593 reports, 52% (309) alleged protected-class discrimination or harassment, while 37% (217) alleged sexual misconduct. Allegations of both protected-class discrimination/harassment and sexual misconduct were present in 3% (20) of the reports.⁸

In addition to the above reports, OIE received 337 requests for disability-related workplace accommodations in 2020. This number represents an increase over 2019, when we received 252 requests. The increase in requests is easily attributable to the COVID-19 pandemic, as individuals who were required to be on campus submitted requests for remote work or other accommodations based on underlying medical conditions and risk of severe illness.

This information is discussed in greater detail below.

V. Sources of Reports to OIE

Reports to OIE came in from a variety of sources, including, but not limited to, complainants, responsible employees, and witnesses or bystanders who came forward to report concerns that they observed. As in 2019, the majority of reports we received in 2020 came from responsible employees rather than directly from a complainant.⁹ Notably, 323 of 593 (54%) reports received came from a responsible employee, while 200 of 593 (34%) reports came from a complainant. Responsible employees include faculty, coaches, resident advisers, human resources personnel, supervisory employees, and others designated by university policy.¹⁰

Once a report is received from a responsible employee, an OIE representative follows up with the complainant to discuss the concern. In 2020, 17 (5%) of complainants who received this outreach from OIE declined to move forward with the OIE process—in fact, some chose not to respond at all to the outreach, perhaps because they did not intend for, or expect, OIE to become involved. On the other hand, 131 (41%) reports received from responsible employees in 2020 ultimately became OIE cases and were subject to additional review by OIE.¹¹

Like the outreach that occurs following a report from a responsible employee—when OIE receives a report of sexual misconduct and/or protected-class discrimination or harassment from complainants or third parties, OIE reaches out to the person(s) alleged to have experienced the misconduct. We provide information about the complaint process, obtain additional details, offer resources and support¹², and discuss the options that are available under the circumstances. In addition, we discuss any appropriate interim measures available to help individuals feel safe and supported while OIE conducts its review or investigation.

⁸ The remaining 8% (47) did not allege discrimination, harassment, or sexual misconduct; these reports were promptly routed to other offices.

⁹ In 2019, of the 924 reports received, 60% (552) originated from responsible employees.

¹⁰ See <https://sexualassault.jhu.edu/policies-laws/> for more information about responsible employees at JHU.

¹¹ See Appendix D for the disposition of all responsible employee reports in 2020.

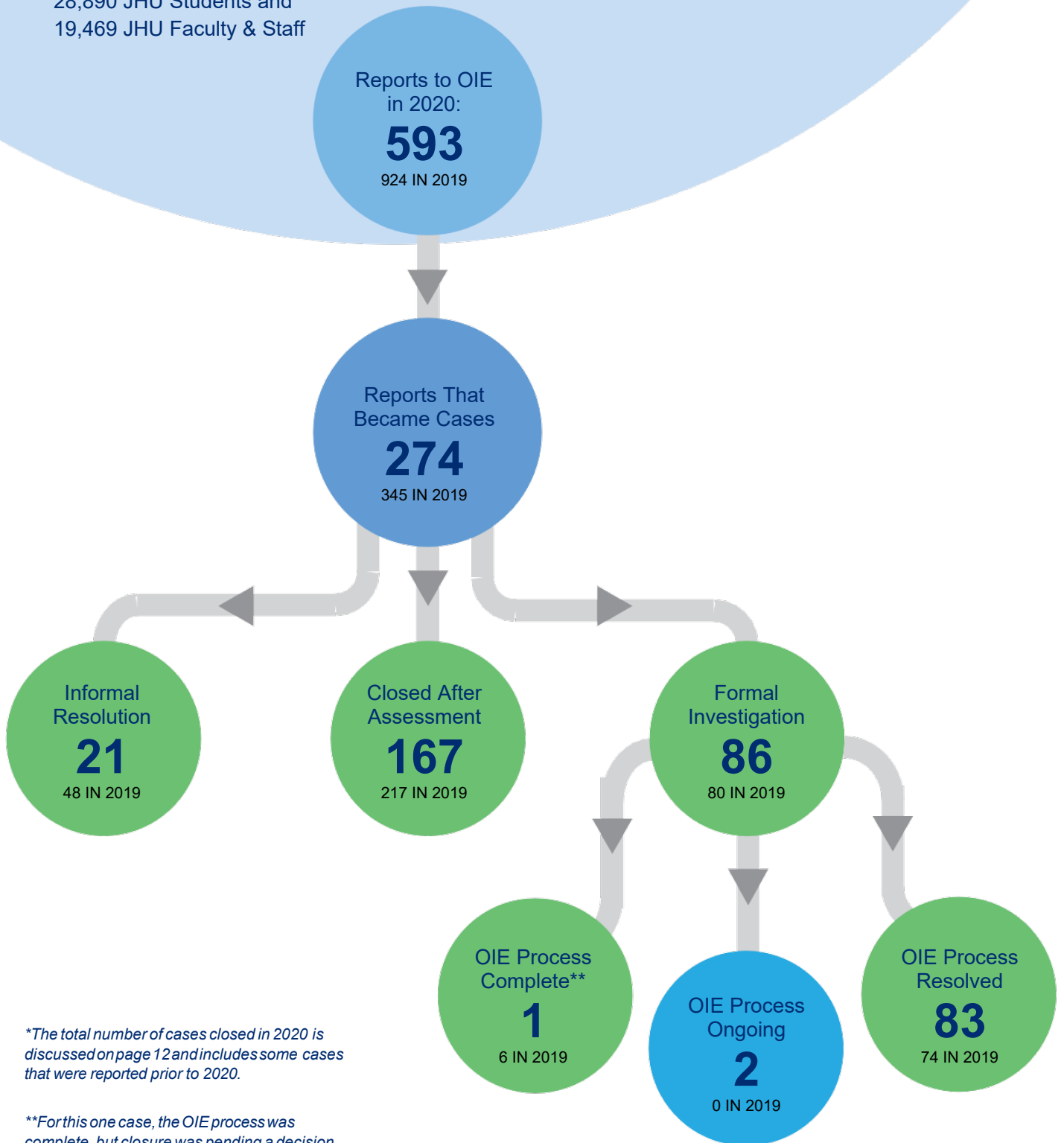
¹² See list of resources on page 5 above.

Status of Reports Received in 2020*

(as of June 1, 2021)

Population served:

28,890 JHU Students and
19,469 JHU Faculty & Staff



*The total number of cases closed in 2020 is discussed on page 12 and includes some cases that were reported prior to 2020.

**For this one case, the OIE process was complete, but closure was pending a decision by the external decision-maker.



Types of Reports Received in 2020

Of the 309 reports of protected-class discrimination/harassment received in 2020, 38% involved multiple protected classes, followed by 24% based on race, as illustrated in Table A. It should also be noted that race was often one of the classes included when multiple protected classes were alleged. The fact that race was our largest reported category aligns with the increase in race-related incidents in our country, both locally and nationally. Race-related concerns continue to be an area of focus as we consider additional discrimination prevention efforts and anti-harassment training for our constituents.

Table A – Categories of Discrimination/Harassment Reports

<i>Multiple Protected Classes</i>	117	38%
<i>Race</i>	75	24%
<i>Disability</i>	29	9%
<i>Gender/Sex</i>	24	8%
<i>National Origin</i>	19	6%
<i>Age</i>	14	5%
<i>Sexual Orientation</i>	13	4%
<i>Religion</i>	7	2%
<i>Retaliation</i>	6	2%
<i>Pregnancy</i>	1	0.3%
<i>Ethnicity</i>	1	0.3%
<i>Color</i>	1	0.3%
<i>Immigration Status</i>	1	0.3%
<i>Veteran Status</i>	1	0.3%
Total	309	100%

Of the 237 reports of sexual misconduct, 39% involved sexual harassment, followed by sexual assault (14%) and stalking (14%) as illustrated below in Table B.¹³

Table B – Categories of Sexual Misconduct Reports

<i>Sexual Harassment</i>	93	39%
<i>Sexual Assault</i>	33	14%
<i>Stalking</i>	33	14%
<i>Nonspecific Sexual Misconduct</i>	23	10%
<i>Multiple Forms of Sexual Misconduct</i>	21	9%
<i>Sexual Misconduct and Other Protected Class</i>	20	8%
<i>Domestic Violence/Dating Violence</i>	8	3%
<i>Retaliation</i>	6	3%
Total	237	100%

¹³ In 2019 also, sexual harassment was the largest category (46%), and sexual assault was the second largest (15%).



In 2019, the university identified several sexual misconduct prevention initiatives that were planned for launch in 2020. Some of these plans were delayed by the pandemic, but the university went forward with piloting bystander intervention training for graduate students and began work on an affirmative consent campaign. In addition, despite delays owing to a hiring freeze, the university approved new positions focused on gender-based violence within the Center for Health Education and Well-Being (CHEW). You will hear more about the results of these efforts in the 2021 annual report.

Reports That Were Closed After Initial Review

For a host of reasons, some reports to OIE do not proceed beyond the initial review phase and are closed before becoming OIE cases.¹⁴ In order to proceed beyond the initial review phase, a report must meet the following criteria:

- The report must include allegations that, if found to be true, would violate an OIE policy (i.e., behavior based on a protected class or behavior that is sexual in nature);
- OIE must have access to sufficient information that would enable OIE to further address the concern via OIE procedures; and
- The complainant must be engaged and desire OIE action (in rare situations, OIE has a responsibility to investigate even without a complainant's agreement and participation).¹⁵

If the report to OIE does not meet the above criteria, the report is closed before it becomes an OIE case. In most such cases, the report is referred to another JHU office or administrator for follow-up—such as Human Resources or Student Conduct.

In 2020, of the 593 reports, 54% (319) were closed at initial review and did not become OIE cases. Table C illustrates the reasons that reports were closed before becoming cases in 2020.

Table C – Reports Received in 2020 That Did Not Become Cases

<i>OIE referred the matter to another department</i>	119	37%
<i>OIE did not have enough information to move forward</i>	98	31%
<i>Complainant did not want to move forward</i>	39	12%
<i>JHU had no authority over the respondent</i>	37	12%
<i>No protected class identified</i>	18	6%
<i>Complainant did not engage with OIE</i>	4	1%
<i>Other</i>	4	1%
<i>Total Reports That Did Not Become Cases</i>	319	100%

¹⁴ Even when a report does not proceed, we preserve the records associated with the report, just in case more information comes in later that enables us to proceed.

¹⁵ Under the current Sexual Misconduct Policy and Procedures, which went into effect on Aug. 14, 2020, and applies to reports of sexual misconduct alleged to have occurred on or after that date, there may be additional requirements based on Title IX regulations to commence an investigation of alleged violations of Title IX.



Reports That Became Cases

When a report meets our minimum criteria, as articulated above, it becomes an OIE case and is assessed for further action by appropriate OIE staff members. We make every attempt to identify the most efficient and appropriate means to resolve OIE cases. We also explore whether informal resolution is appropriate, or if we need to conduct a formal investigation where we interview parties and witnesses to obtain more information and evidence.

Of the 593 reports OIE received in 2020, 274 (46%) became OIE cases that were ultimately assessed, informally resolved, or formally investigated. Of those 274 cases, 89 (32%) were related to sexual misconduct, and 185 (68%) were related to protected-class discrimination and/or harassment.

Outcomes of Cases Closed in 2020

During 2020, OIE closed 340 cases of sexual misconduct and protected-class discrimination or harassment following an assessment, an informal resolution, or a formal investigation. Of these, 103 were received in 2019 but remained open for some portion of 2020, so they are counted in 2020. There were 196 cases (58%) closed via assessment, 112 cases (33%) closed via formal investigation, and 32 cases (9%) closed via informal resolution.

As shown in Table D below, most OIE cases in 2020 did **not** result in a finding of discrimination, harassment, or sexual misconduct. It is important to note here that when OIE investigators uncover conduct that is inappropriate or unacceptable but does not violate JHU's sexual misconduct or discrimination and harassment policies, OIE informs the relevant university department or authority (such as Human Resources, Student Conduct, or a department official/dean) and recommends specific follow-up actions.

Table D - Outcomes of Cases Closed in 2020

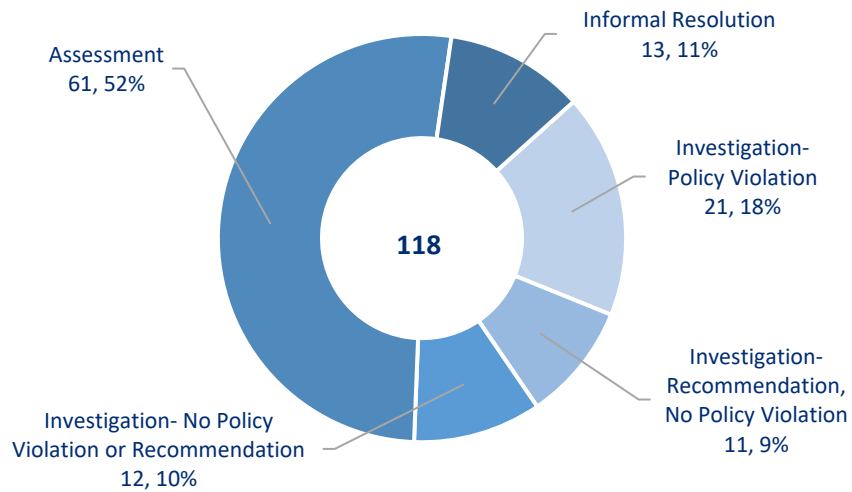
	Total Cases Closed in 2020	Number of Cases Closed with OIE policy violation	Number of Cases Closed with OIE recommendation
Assessment	196	N/A	62
Informal Resolution	32	N/A	28
Investigation	112	26	43
TOTAL	340	26	133

In 159 of the 340 cases closed in 2020 (47%), OIE either made a policy finding or made one or more recommendations. OIE recommendations typically included addressing the problematic conduct under other applicable (HR or departmental) policies, mandated diversity or anti-discrimination training, recommendations as to supervisory structure or management practices, and/or other forms of training or retraining, coaching, and counseling. Notably, 50 cases (15%) closed in 2020 resulted in OIE facilitating a one-on-one educational conversation with the respondent.

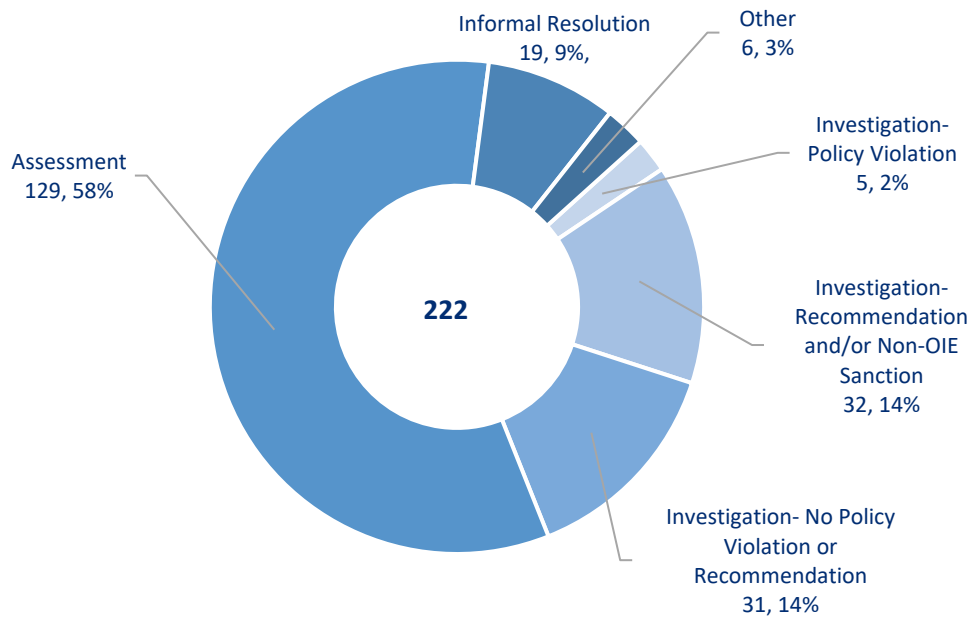


Of the 340 cases closed in 2020, 118 (35%) were related to sexual misconduct and 222 cases (65%) were related to protected-class discrimination and harassment. The below charts provide a breakdown of the outcomes in the 118 sexual misconduct cases and the 222 protected-class discrimination and harassment cases.

Outcomes of Sexual Misconduct Cases Closed in 2020



Outcomes of Discrimination/Harassment Cases Closed in 2020





Sanctions Issued in Response to Policy Violations

In 2020, the following sanctions were applied in instances where OIE made a finding that a policy violation occurred:¹⁶

2020 Sanctions for Policy Violations

Suspension	Termination/removal from position
Deferred suspension	Formal reprimand or notation in file
Deferred graduation	Administrative sanction
Prohibition from future studies	Counseling/coaching
Educational sanction	Campus restriction
No contact order	Mandated training/retraining on OIE policies

The above list does not include sanctions against respondents who were not affiliated with JHU. For instance, in 2020, OIE was involved in the issuance of access restrictions and reassignment or removal of seven nonaffiliates who were reported for engaging in sexual misconduct that impacted the university community.

2020 Time-to-Close

Over the past several years, OIE has worked diligently to improve its case resolution time frames. In doing so, we have identified several factors that impact our ability to resolve matters in the most efficient manner. We have addressed many of the factors that fall within our control, such as refining our internal processes, hiring additional highly qualified investigators, implementing the use of improved case-tracking software, and improving collaborations/partnerships with other JHU departments.

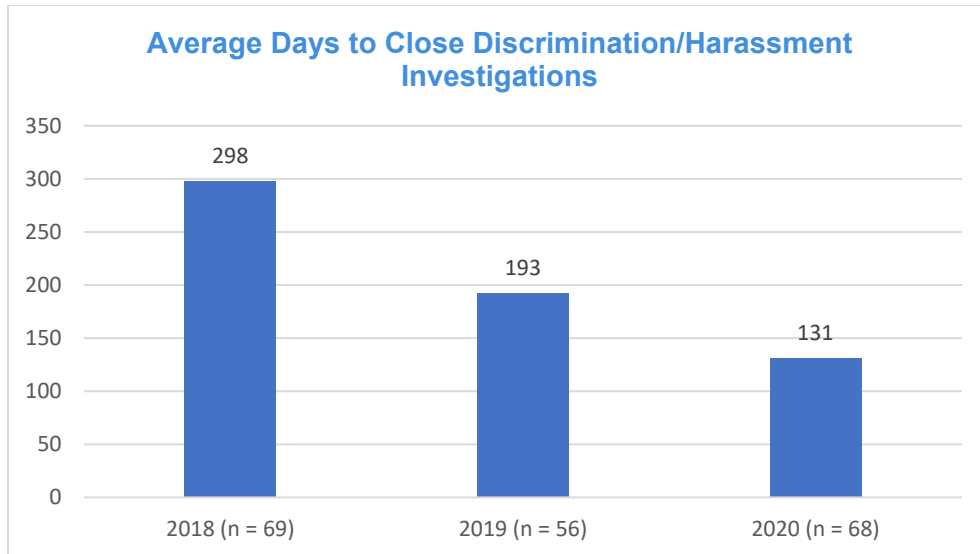
There are, however, still other factors that fall somewhat outside our control. These factors have a huge impact on our ability to serve the community in the most efficient manner:

- a. Unavailability of witnesses or delayed participation by parties;
- b. Complexity of cases—multiple and/or new allegations against multiple parties;
- c. Coordination with parties' supporters or attorneys;
- d. Need for translation or interpreter services;
- e. Concurrent law enforcement investigations;
- f. Voluminous records to review, including electronic records such as social media screen shots or text messages;
- g. Academic calendar (i.e., students or faculty requesting to hold off on investigation until exams or break periods end); and
- h. OIE investigator capacity/caseload.

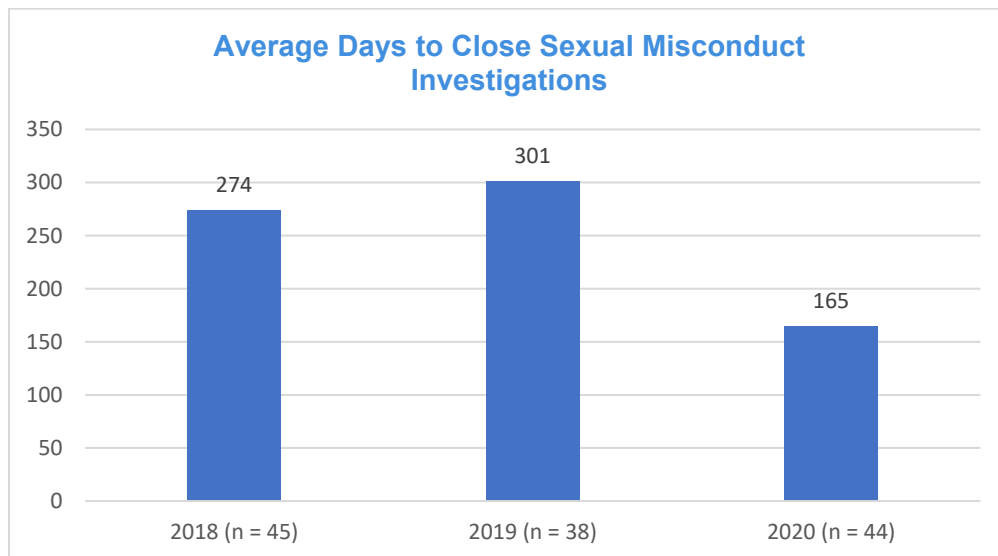
¹⁶ Individuals may receive multiple sanctions. An individual accused by multiple complainants is considered to have one OIE case for each complainant and receives sanctions as the result of each case, some of which may be duplicative.



In 2020, OIE continued efforts to streamline our process and find ways to close cases faster, while not compromising the quality of the work. As a result of our efforts, we did accomplish some reductions in the time it took to close investigations. See the below graph for an illustration of the time it took to investigate protected-class discrimination/harassment matters in 2020 as compared to prior years.



Similarly, we also accomplished reductions in the time it took to close investigations of sexual misconduct matters, as illustrated in the below graph:





In 2020, investigation timelines began on the first day that OIE received the matter and stopped only after the matter was fully closed.¹⁷ It must be noted here that sexual misconduct investigations are *not* closed immediately after OIE completes its investigation. Although OIE generally has completed its work at that point, OIE cannot close a formal investigation until the decision-maker considers the information provided, makes a decision, and communicates the decision to the parties.

To this end, after OIE completes its investigation summary in a sexual misconduct investigation, OIE provides its recommendations to the resolution panel (for students) or to the relevant external decision-maker (for staff/faculty). This is referred to as the “post-OIE adjudication process.”

Table E below depicts the average number of days that a sexual misconduct investigation was in the OIE investigative process as compared to the average number of days that a sexual misconduct investigation was in the post-OIE adjudication process.

Table E: Timeline for Sexual Misconduct Investigations

	2018	2019	2020
Average Days in OIE Investigative Process	209	208	120
Average Days in Post-OIE Adjudication Process (After OIE Investigation is Complete)	53	86	42
Average Total Days	274	301	165

As shown above, we have improved the timing of both OIE’s investigative process and the post-OIE adjudication process, leading to significantly lower overall time frames for formal investigations of sexual misconduct.

For information concerning our average times to close assessments and informal resolutions in 2020, see Appendix F.

¹⁷ Beginning in 2021, we changed this method to start our timeline once a complaining party indicates that they wish to move forward with the process and is available to engage with an OIE investigator. This change will be reflected in the 2021 annual report.



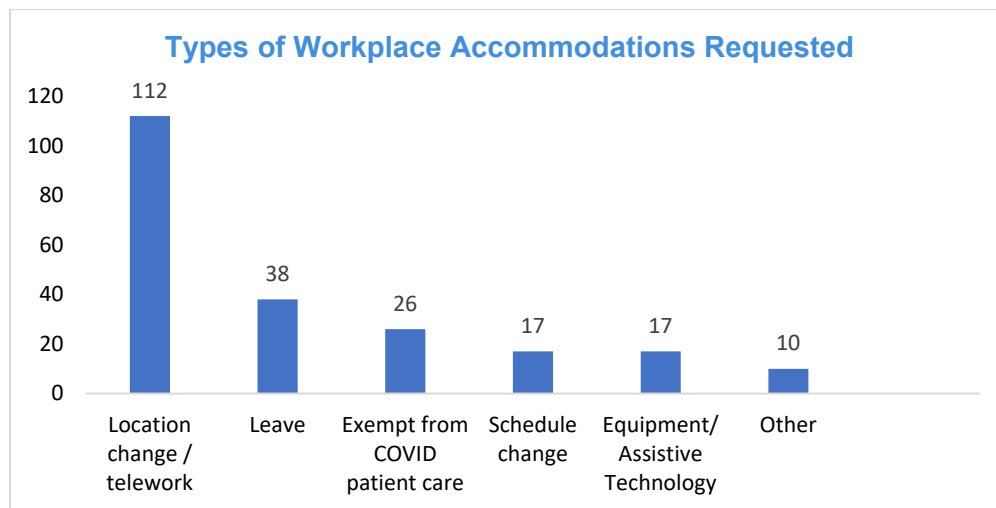
Requests for Accommodations

In addition to investigation of protected-class discrimination and harassment and sexual misconduct matters, OIE is the university's central resource for coordinating requests for workplace accommodations from faculty, staff, postdocs, residents, and other trainees.¹⁸ This includes disability, religious, and pregnancy-based adjustments. OIE also coordinates religious and pregnancy-based adjustments for students; however, student requests for ADA accommodations are handled by Student Disability Services.

ADA Workplace Accommodations

In 2020, OIE received 337 ADA workplace accommodation requests. OIE approved 216 (64%) of the requested accommodations, while 108 (32%) of the requests were closed owing to the requester's failure to participate in the interactive process, referral to a different office, or withdrawal from the process. Thirteen requests (4%) for accommodation were denied.

The requested types of accommodations are depicted in the below graph. Because some employees receive more than one type of accommodation, the total number of accommodations granted (220) is greater than the number of individuals who received accommodations (193). Notably, of the 337 requests received in 2020, 193 (57%) were related to COVID-19.



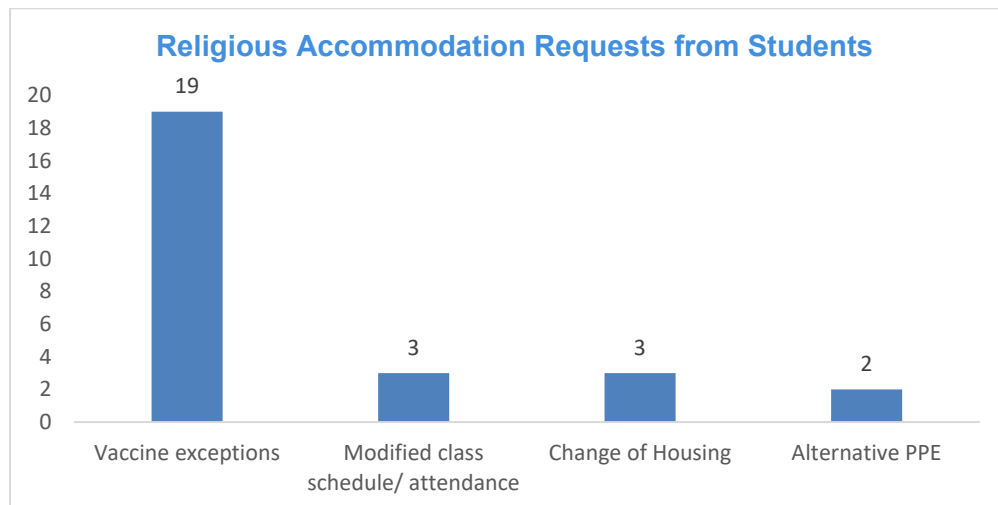
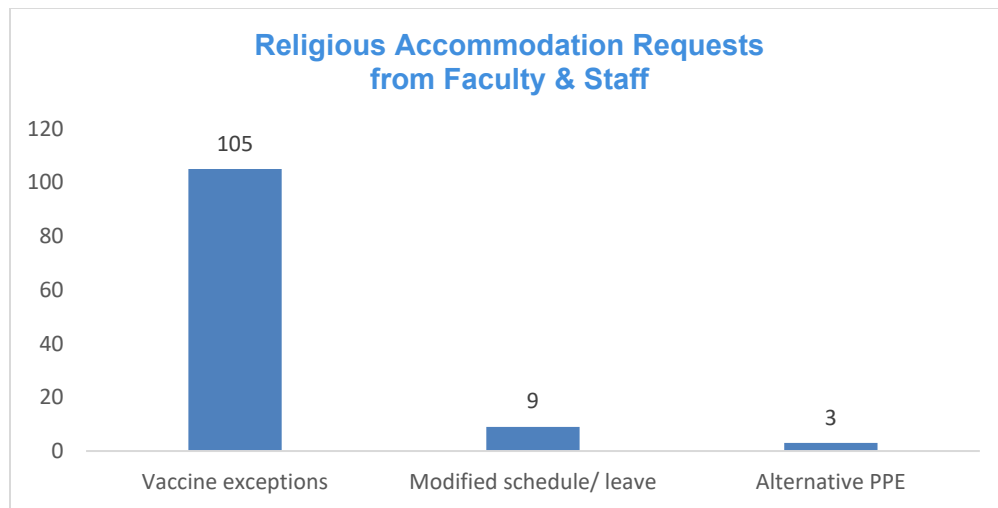
¹⁸ Student requests for ADA accommodations are handled by Student Disability Services, not OIE, and thus are not included in this annual report.



Religious Accommodations

Of the 150 total requests for religious accommodations that OIE received in 2020, 118 (79%) came from faculty and staff, while 32 (21%) were from students. The vast majority of requests (144, 96%) were approved.

In fall 2020, JHU implemented an influenza vaccine policy which applied to many non-SOM faculty/staff for the first time. 86% (124) of the 144 total religious accommodation requests granted by OIE were requests for exceptions to the influenza vaccine requirement, as illustrated below in the below graphs.



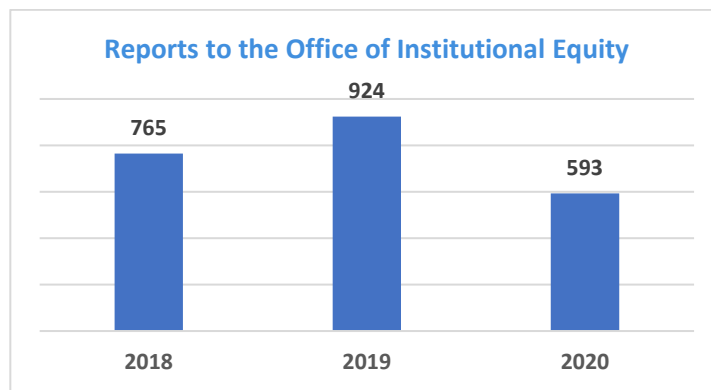


VI. Appendixes

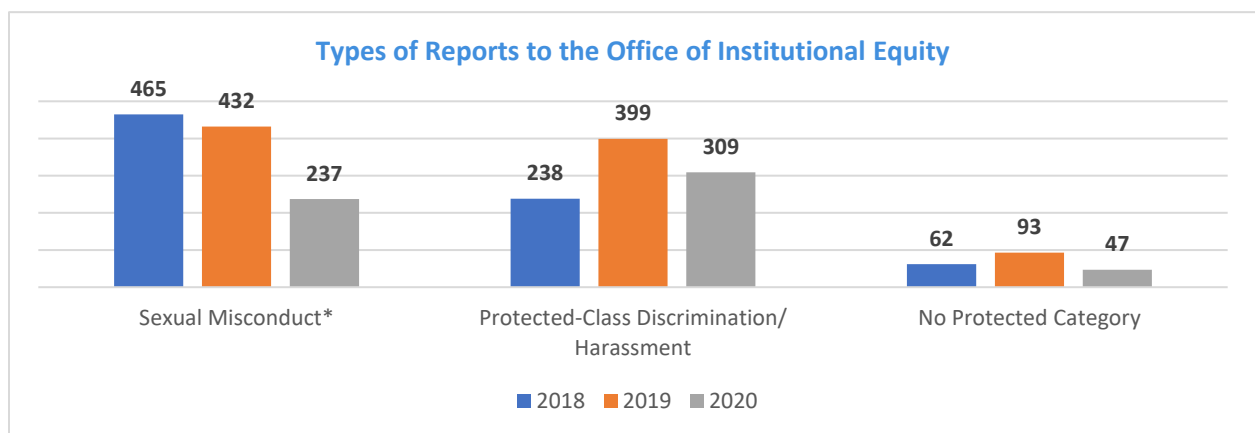
Appendix A

Report Data from 2018 to 2020

After a steady growth in reports for several years, OIE received significantly fewer reports in 2020. At the end of February 2020, OIE was on pace to have approximately 1,211 reports for the year,¹⁹ but this trajectory changed dramatically when the university transitioned to remote work and school from March 2020 through the end of the year.



In, addition, as illustrated below, we saw a notable decrease in sexual misconduct reports in 2020 (195 reports; 45% decrease from 2019). The decrease was much larger than the decrease in discrimination and harassment reports (90 reports; 23% decrease). As sexual misconduct reports frequently involve in-person interactions (particularly sexual assault and dating/domestic violence), this decrease may be attributable in large part to the switch to a remote environment for the majority of our community.



*Reports of sexual misconduct sometimes include a claim of concurrent protected-class discrimination. To best represent the number of reports to OIE and to avoid double-counting, these reports are included only in the counts of sexual misconduct reports. In 2020, 2019, and 2018, there were 20, 40, and 33 such reports (3%, 4%, and 4%), respectively.

¹⁹ This estimate is based upon the number of reports that OIE received as of February 2020 (156, 13%) as compared with the total number of reports in 2019 (924). OIE received 156 reports (13% of the total, 1211) at the end of February 2020.



Appendix B

Training Initiatives

In 2017, JHU launched an initiative to train our community on Title IX and harassment prevention, covering policies and procedures related to sexual misconduct, harassment, and discrimination, and raising awareness about Title IX, the Campus SaVE Act, the Violence Against Women Act, and the role of responsible employees. OIE continues to work with Human Resources and the divisions to require completion of the training for all new and existing employees. In addition, OIE has provided supplemental training to various groups and departments upon request.

Students receive training in a variety of ways. All incoming undergraduate and graduate students are required to complete a sexual misconduct training module, and all incoming students began to receive new and improved modules as of August 2019 that include enhanced bystander intervention content, and which have since been updated to reflect new Title IX federal regulations. First-year students also complete mandatory bystander intervention training and cannot register for their second-year fall courses until they complete a mandatory workshop on diversity and inclusion. Finally, OIE provides training to student groups upon request, including during orientation.

We regularly review our sexual misconduct training, education, and prevention efforts utilizing information and feedback from the community. The 2019 Campus Climate Survey provided valuable information on student awareness and understanding of university policies and resources related to sexual misconduct, as well as the prevalence of sexual misconduct in our community. Using this information, OIE has been working with Student Affairs and the Sexual Violence Advisory Committee (SVAC) to expand bystander intervention training to graduate students, to launch a campaign promoting healthy consent and sexual respect, and to enhance support and education resources surrounding sexual misconduct with two new confidential positions in the Center for Health Education and Wellness. The results of our 2021 Campus Climate Survey are not yet available but will be shared in our 2021 annual report.



Appendix C

Affiliation of Parties Involved in Reports Received in 2020

The tables below provide information about the university affiliation of parties involved in OIE reports received in 2020. Of the 237 sexual misconduct reports, 48% (n=113) involved students as complainants, and 20% (n=47) involved staff complainants. Overall, sexual misconduct reports most frequently involved a student complainant and nonaffiliate respondent (22%, n=53), followed by a student complainant and a student respondent (19%, n=44), and then by a staff complainant versus a staff respondent (14%, n=32).

2020 Sexual Misconduct Reports (n = 237): Affiliation of Parties

		Respondent Affiliation					TOTAL
		Student Respondent	Staff Respondent	Faculty Respondent	Multiple Affiliation Respondent	Non-Affiliate/Unknown Respondent	
Complainant Affiliation	Student Complainant	44	5	11	0	53	113
	Staff Complainant	0	32	7	2	6	47
	Faculty Complainant	0	0	5	0	4	9
	Multiple Affiliations Complainant	0	1	1	1	0	3
	Nonaffiliate/Unknown Complainant	30	6	12	1	16	65
TOTAL		74	44	36	4	79	237

For discrimination and harassment reports, students were the most frequent complainants (38%, n=118), closely followed by staff (37%, n=115). Overall, discrimination/harassment reports most frequently involved a staff complainant and staff respondent (29%, n=89), followed by a student complainant and a faculty respondent (18%, n=56), and then by a student complainant and a staff respondent (10%, n=30).



**2020 Protected-Class Discrimination/Harassment Reports (n = 309):
Affiliation of Parties**

		Respondent Affiliation					TOTAL
		Student Respondent	Staff Respondent	Faculty Respondent	Multiple Affiliations Respondent	Nonaffiliate/Unknown Respondent	
Complainant Affiliation	Student Complainant	13	30	56	1	18	118
	Staff Complainant	0	89	13	4	9	115
	Faculty Complainant	1	7	13	0	1	22
	Multiple Affiliations Complainant	0	1	2	0	0	3
	Nonaffiliate/Unknown Complainant	12	11	11	3	14	51
TOTAL		26	138	95	8	42	309



Appendix D

Responsible Employee Reporting

As noted previously, a “responsible employee” is an employee of the university who is required to inform OIE if they learn information or allegations about sexual misconduct, protected-class discrimination or harassment, or retaliation. Of 593 reports received in 2020, 323 (54%) came to OIE from a responsible employee rather than directly from the complainant. The table below shows the outcomes of these responsible employee reports.

Resolution of Reports Received from Responsible Employees in 2020 (n = 323)

131 Responsible Employee Reports (41%) Became Cases	Closed after Assessment or Formal Investigation	115	36%
	Informal Resolution	16	5%
192 Responsible Employee Reports (59%) Were Closed Without Becoming Cases	OIE did not have enough information to move forward	69	21%
	OIE referred the matter to another department	70	22%
	JHU had no authority over the respondent	26	8%
	Complainant did not want to move forward	13	4%
	No protected class	9	3%
	Complainant did not engage	4	1%
	Other	1	0%
Total Responsible Employee Reports		323	100%



Appendix E

Affiliation of Parties Involved in Cases Received in 2020

The tables below provide information about the university affiliation of parties involved in OIE cases that resulted from the reports received in 2020. Of the 89 sexual misconduct cases, 44% of cases (n=39) involved student complainants, and 34% (n=30) involved staff complainants. Overall, sexual misconduct cases most frequently involved a student complainant and student respondent (31%, n=28) followed by a staff complainant and a staff respondent (24%, n=21).

2020 Sexual Misconduct Cases (n = 89): Affiliation of Parties

		Respondent Affiliation					TOTAL
		Student Respondent	Staff Respondent	Faculty Respondent	Multiple Affiliations Respondent	Non-Affiliate/Unknown Respondent	
Complainant Affiliation	Student Complainant	28	3	5	0	3	39
	Staff Complainant	0	21	6	2	1	30
	Faculty Complainant	0	0	4	0	0	4
	Multiple Affiliations Complainant	0	1	1	1	0	3
	Non-Affiliate/Unknown Complainant	5	5	2	1	0	13
TOTAL		3	30	18	4	4	89

For discrimination and harassment cases, staff were the most frequent complainants (41%, n=75) followed by students (34%, n=63). Overall, discrimination/harassment cases most frequently involved a staff complainant and staff respondent (32%, n=60), followed by a student complainant and a faculty respondent (17%, n=32), and then by a student complainant versus a staff respondent (10%, n=18).



**2020 Protected-Class Discrimination/Harassment Cases (n = 185):
Affiliation of Parties**

		Respondent Affiliation					TOTAL
		Student Respondent	Staff Respondent	Faculty Respondent	Multiple Affiliations Respondent	Non-Affiliate/Unknown Respondent	
Complainant Affiliation	Student Complainant	7	18	32	1	5	63
	Staff Complainant	0	60	7	3	5	75
	Faculty Complainant	1	6	10	0	0	17
	Multiple Affiliations Complainant	0	1	0	0	0	1
	Nonaffiliate/Unknown Complainant	8	8	9	1	3	29
TOTAL		16	93	58	5	13	185

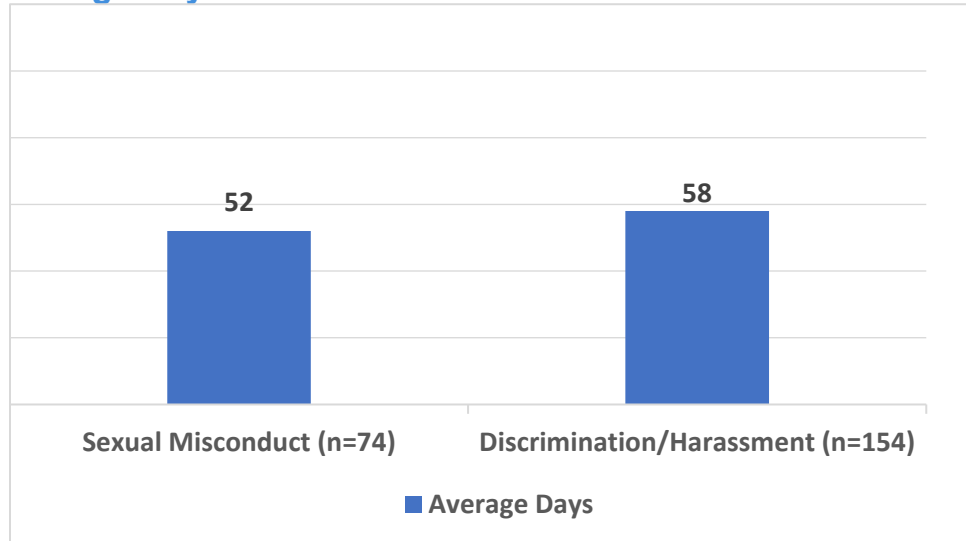


Appendix F

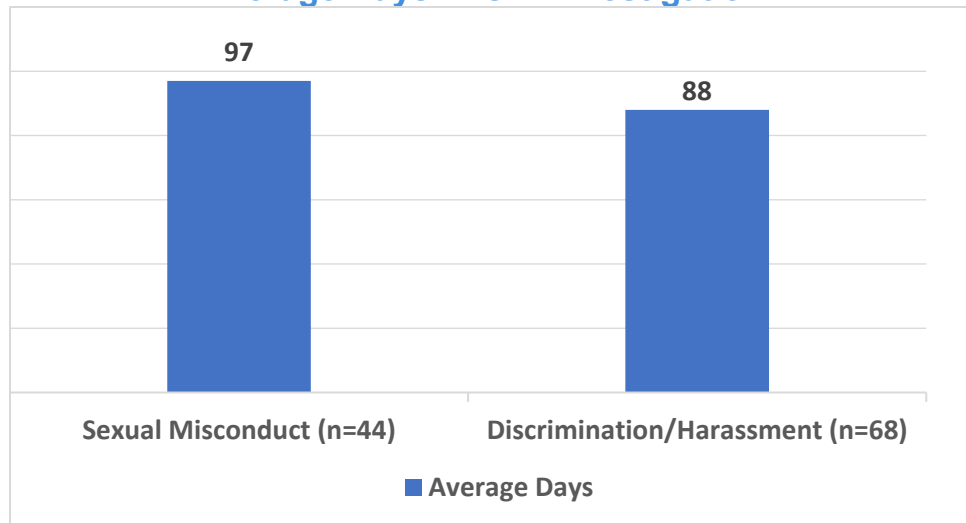
Average Timelines for Closing Cases

In 2020, OIE continued efforts to streamline our processes in order to close cases faster without compromising the quality of our work.

Average Days to Close Informal Resolutions & Assessments



Average Days in OIE Investigation²⁰

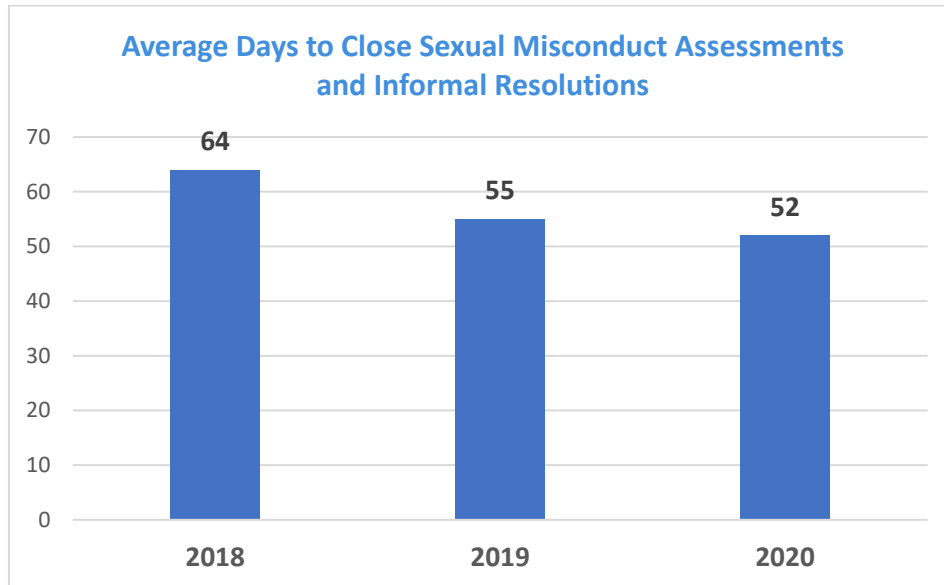
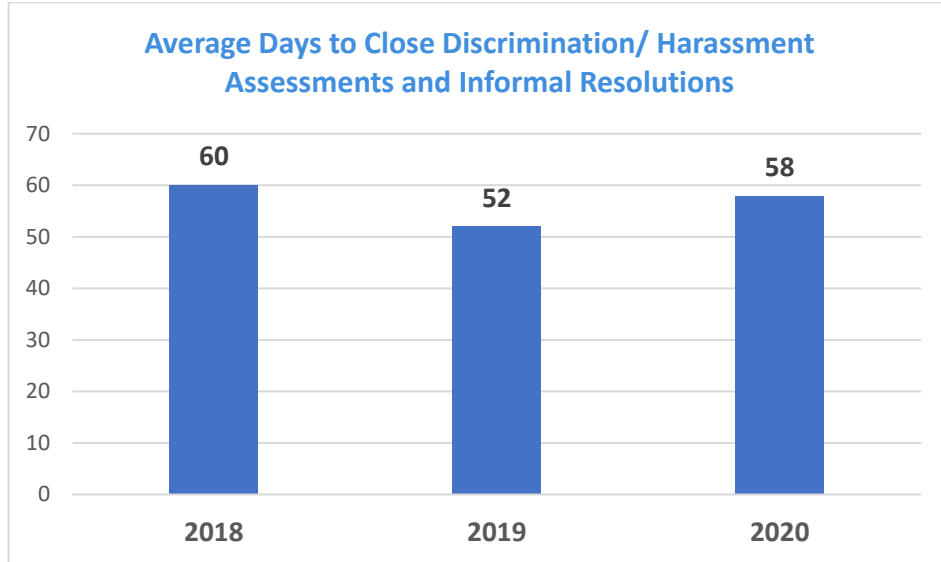


²⁰ This graph captures the time (in days) from the date on which OIE formally commenced an investigation, to the date on which OIE provides its investigative summary to applicable decision-makers. In sexual misconduct matters, OIE's investigation summary makes a recommendation regarding whether the policy was violated, but the post-OIE process determines the final outcome. In discrimination/harassment matters, OIE's investigation summary makes a final decision about whether the policy was violated, but the decision-makers determine appropriate next steps/consequences, if applicable.



Year Over Year Timelines – Assessments & Informal Resolutions

The graphs below compare three calendar years of data regarding the average number of days needed to close informal resolutions and assessments.





The average number of days for assessment and informal resolution of discrimination/ harassment cases increased slightly from 2019 to 2020; however, the overall trend for both discrimination/harassment and sexual misconduct matters shows improvements in and maintenance of efficiency in these OIE processes. Notably, the number of assessments and informal resolutions involving discrimination/harassment has increased dramatically in the past three years, consistent with the trend of OIE receiving more complaints of this nature. In contrast, the number of sexual misconduct assessments and informal resolutions has shown more variability and has generally declined for the past two years, consistent with the overall decline in the number of sexual misconduct complaints received by OIE from 2019 to 2020.

Number of Informal Resolutions/Assessments by Year and Type		
	Discrimination/Harassment	Sexual Misconduct
2017	29	62
2018	59	126
2019	151	105
2020	154	74