

Office of Institutional Equity

2019 Annual Report

Greetings to the Johns Hopkins University community! I joined the organization in July 2020 as Vice Provost, Office of Institutional Equity (OIE), and am pleased to present the 2019 Annual Report. The Annual Report illustrates OIE's ongoing commitment to the university community to foster an environment that is inclusive, respectful and free from discrimination and harassment.

As you will see in your review of our 2019 Annual Report, last year proved to be a busy and productive one for OIE on several fronts.

First, for at least the third year in a row, the number of reports to our office continued to rise in 2019; we received 924 reports—21% more than the prior year. We attribute this rise to an increased awareness of our office's role coupled with an increase in reports from Hopkins' responsible employees. In fact, of the 924 reports we received in 2019, 60% (552) originated from responsible employees.

Secondly, it should be noted that while reports to our office increased by 21% over the prior year, our staff size remained the same. OIE was well-prepared to respond to the caseload increase, and the growth in cases did not result in overall longer investigation timelines. In fact, due to several process improvements made in 2018-19, OIE reduced the time it took to complete investigations under the Discrimination and Harassment Policy and Procedures from an average of 298 days in 2018 to an average of 193 days in 2019, a difference of three months. For sexual misconduct investigations, our streamlining efforts have yielded similar significant improvement in the first half of 2020, going from an average of 274 days in 2018 to an average of 172 days in the first half of 2020, marking another 3 month reduction. While we know we still have room for improvement, I think we can agree that this is a noteworthy and significant decrease.

And, finally, another notable data trend that bears highlighting is the increase in the percentage of protected class discrimination and harassment (vs. sexual misconduct) claims. In 2019, reports of discrimination and harassment rose by an increase of 68%, for a total of 399 reports, with a solid majority based on race. This increase is

likely due to the current social climate in Baltimore (and throughout the country) which has increased awareness and activism in the area of racial discrimination. We expect to see this trend continue well into next year.

In 2020 and beyond, we are continuing to streamline our work and improve OIE's processes. We recently implemented a survey tool designed to solicit feedback from individuals who engage with our office as complainants, respondents and/or witnesses. We will use that feedback to guide further efficiencies as we strive for excellence in our service to the Hopkins University community.

In addition to the data provided in this Annual Report, please also visit our website, www.oie.jhu.edu for more information about our office and our policies and procedures.

Sincerely,
Shanon Shumpert
Vice Provost for Institutional Equity

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This section describes Johns Hopkins' policies, procedures, and training initiatives related to sexual misconduct and to discrimination and harassment.

3. Status of Reports Received in 20198

This and the following three sections focus on the 924 reports that OIE received in 2019, and how they were handled as of June 1, 2020. This section depicts the pathways through which the reports were closed.

3a. Status of Reports Received in 2019

This section breaks down the reports by categories of misconduct, and by the affiliations of the complainants and respondents.

3b. Resolution of Reports Received in 2019

This section describes how OIE decides whether a report of misconduct will proceed to an assessment or formal investigation, and how reports received in 2019 advanced.

3c. Cases Addressed by OIE From Reports Received in 2019

This section focuses on the 345 reports that became cases and were assessed, informally resolved or formally investigated.

4. Outcomes of Cases Closed in 2019 17

This and the following sections focus on the 350 cases OIE closed in 2019, including some that were initially reported prior to 2019. This section highlights how those cases were closed and lists resulting sanctions.

4a. Timelines for Cases Closed in 2019

This section provides the average and median time to close cases by resolution process and by category of misconduct, and explains why cases may be delayed.

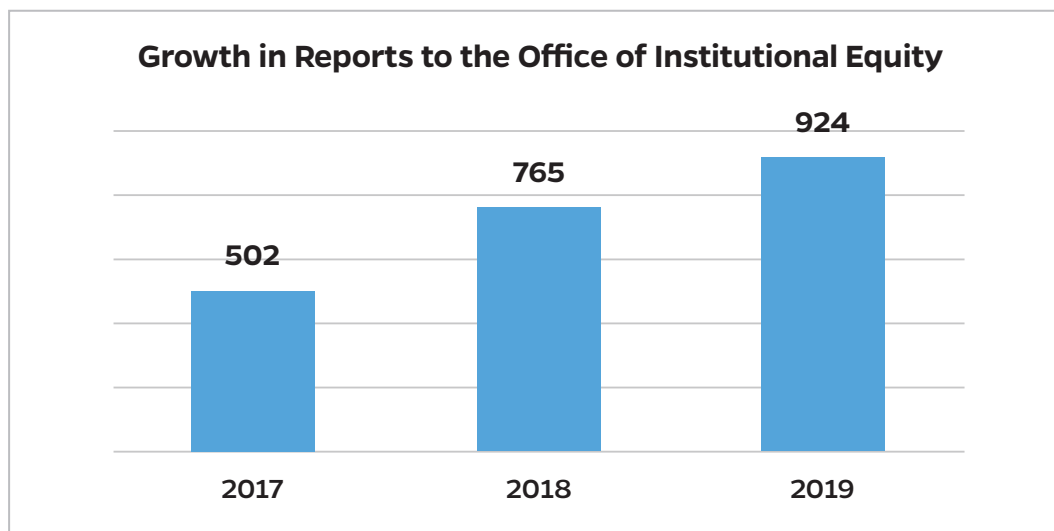
4b. Timelines for Phases of Sexual Misconduct Investigations Closed in 2019

This section provides the average time spent in each phase of the formal investigation process for sexual misconduct.

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1. Growth in OIE Reports

Consistent with 2017 and 2018, this year's annual report shows continued growth in the number of reports received by OIE. OIE received 924 reports in 2019, an increase of 159 reports compared to 2018. While OIE received a larger number of reports in 2019 than in 2018, the rate of growth has slowed. In 2018, OIE received 52% more reports than in 2017. In 2019, however, OIE received only 21% more reports than in 2018.

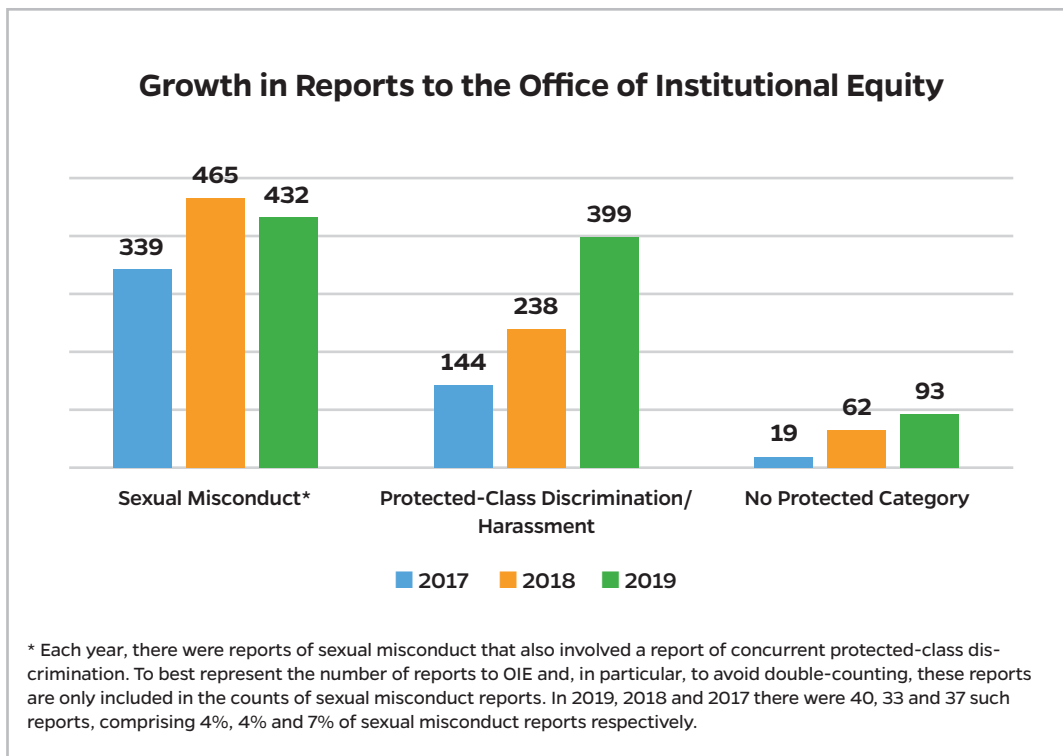


In looking more closely at the type of reports OIE received in 2019, we can see that the slower rate of growth is largely attributable to OIE receiving fewer reports of sexual misconduct. In 2018, OIE received a total of 465 sexual misconduct reports, which represented a 37% increase from 2017. In 2019, however, OIE received 432 reports of sexual misconduct, which represented a 7% decrease compared to 2018.

In contrast, the data show a substantial and fairly steady increase in reports of discrimination and harassment. In 2018, OIE received 65% more reports of discrimination and harassment than in 2017, which had a total of 238 reports. Similarly, in 2019, OIE received 68% more reports of discrimination and harassment than in 2018, for a total of 399 reports.

Overall, OIE is encouraged by the continued growth in reporting, which we attribute to improved knowledge and engagement of OIE for assistance, increased reporting by Responsible Employees¹, ongoing educational and outreach efforts, and increasing societal recognition of discrimination and sexual misconduct. While the decreased reporting of sexual misconduct may be due to a variety of factors, including fewer incidents of sexual misconduct, we recognize that this also could be tied to trends revealed in the 2019 Campus Climate Survey on Sexual Assault and Misconduct—namely, a lower awareness of OIE and less confidence in OIE's process compared to the prior year's survey. We will continue to take steps to encourage reporting and enhance knowledge of and trust in OIE, including by continued prompt, responsive action to all reports.

¹A 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. Responsible Employees include faculty, coaches, resident advisors, human resources personnel, supervisory employees, and others designated by university policy. See <https://sexualassault.jhu.edu/policies-laws/>.



In its 2019 work, OIE used the following terms:

Sexual Misconduct includes sexual harassment, sexual assault, relationship violence, and stalking.

Protected-Class Discrimination and Harassment 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, immigration status, marital status, military status, national origin, race, religion, sexual orientation, veteran status, or other legally protected characteristic. Also includes nonsexual gender- and sex-based discrimination and pregnancy harassment and discrimination.

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

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

2. Policies and Training

The **Sexual Misconduct Policy and Procedures** (available at sexualassault.jhu.edu/policies-laws/) set forth a standard for all members of the university community and describe our response to claims of prohibited sexual misconduct (which includes sexual assault, sexual harassment, relationship violence, stalking, and related retaliation). They were revised effective August 14, 2020 to comply with federal regulations addressing Title IX. These compliance revisions impacted various definitions and procedures, however all sexual misconduct that was prohibited and addressed under the former policy continues to be prohibited and addressed under the revised policy.²

The **Discrimination and Harassment Policy and Procedures** (available at oie.jhu.edu/policies-and-laws/jhu-policies/index.html) became effective June 1, 2019 following months of soliciting feedback from various stakeholders. More recently, several revisions were made on August 14, 2020, to align with the revisions to the Sexual Misconduct Policy and Procedures on the same date. The policy and procedures reinforce the university's strong commitment to preventing and addressing discrimination and harassment, and provide information about the complaint process, related timelines, confidentiality, and strong protections and supports for all parties.

In 2017, Johns Hopkins University launched an initiative to train our community in 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. As of November 2020, 77 percent of faculty and 89 percent of staff had completed the training. OIE continues to work with Human Resources and the divisions to require completion for all new and existing employees. In addition, OIE has provided supplemental training to various groups and departments upon request.

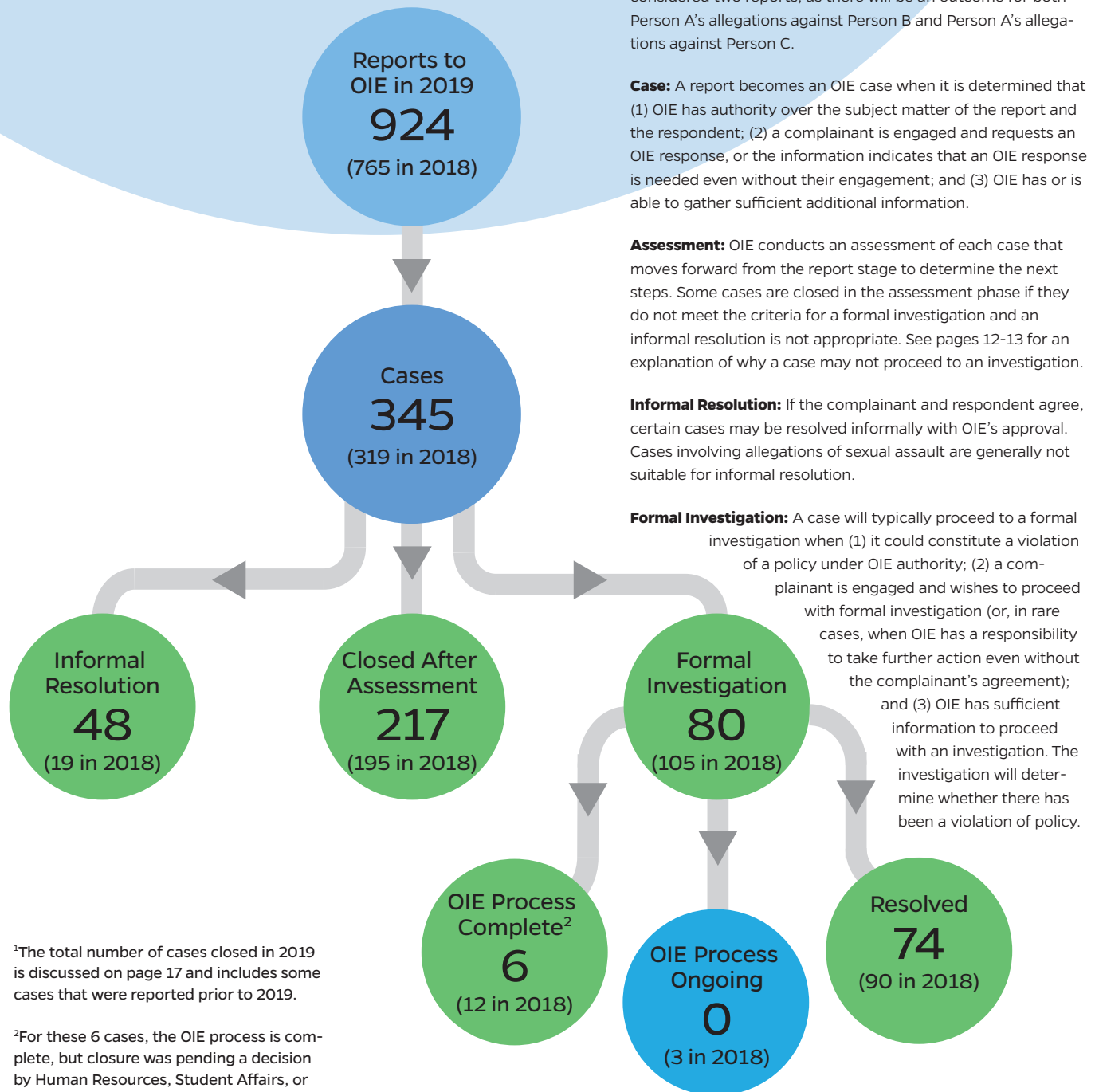
Students receive training in a variety of ways. All incoming undergraduate and graduate students are required to complete a sexual misconduct training module before arriving on campus, and all incoming students began to receive new and improved modules as of August 2019 that include enhanced bystander 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.

²A link to the prior Sexual Misconduct Policy and Procedures, which was in effect through August 13, 2020, can be found at <https://sexualmisconduct.jhu.edu/policies-laws/SMPP%20Effective%208.1.19%20Through%208.13.20.pdf>.

We regularly review our sexual misconduct training, education and prevention efforts utilizing information and feedback from the community. This year, 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 is working with Student Affairs and the Sexual Violence Advisory Committee (SVAC) to update and implement the recommendations in the SVAC Action Plan for Sexual Violence/Misconduct Prevention & Response. These include expanded bystander intervention training, launching a campaign promoting healthy consent and sexual respect, and enhancing support and education resources surrounding sexual misconduct.

3. Status of Reports Received in 2019 (as of June 1, 2020)¹

Population served:
27,363 JHU students and
19,915 JHU employees



¹The total number of cases closed in 2019 is discussed on page 17 and includes some cases that were reported prior to 2019.

²For these 6 cases, the OIE process is complete, but closure was pending a decision by Human Resources, Student Affairs, or other departments as of June 1, 2020.

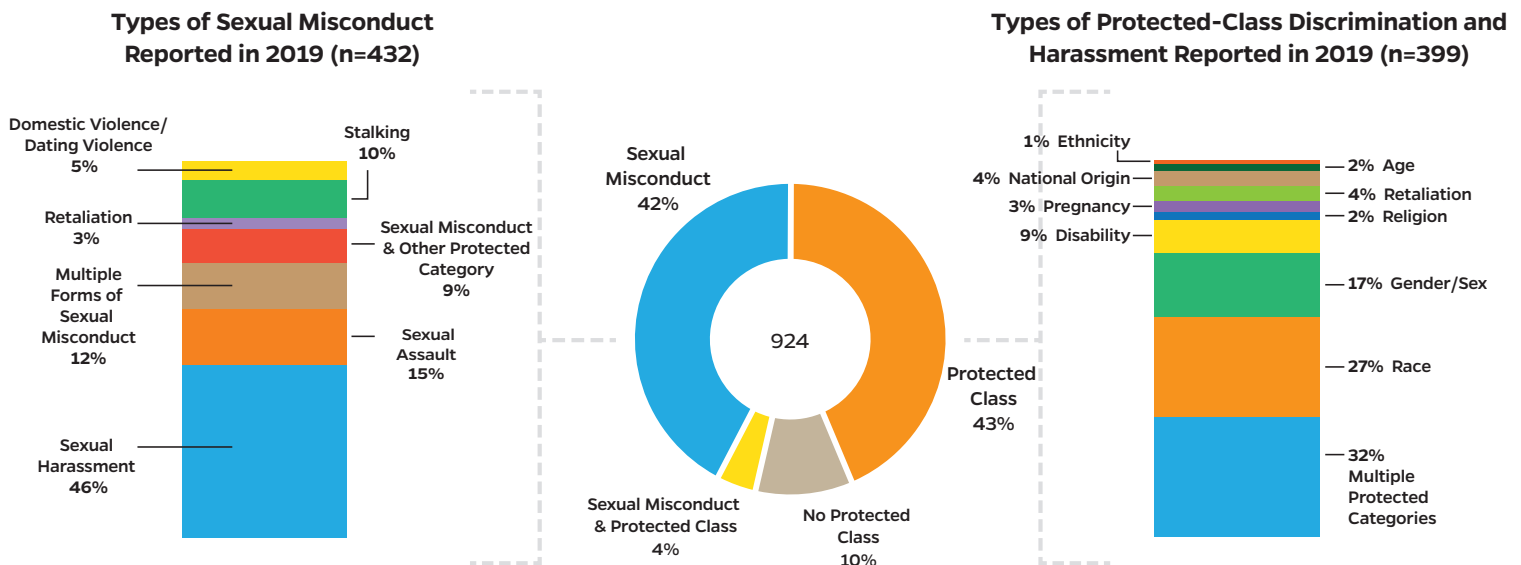
A comparison of 2018 to 2019 shows that, while OIE received more reports in 2019 (765 compared to 924; 21% growth), this did not translate to a proportional increase in the number of cases (319 compared to 345; 8% growth). As discussed further on pages 12-13, this is due in part to OIE receiving more 2019 reports that did not fall under OIE’s jurisdiction (19%, 177 reports) or where OIE lacked the information to move forward (13%, 119 reports) or lacked authority over the Respondent (7%, 65 reports).

Notably, in 2019, OIE closed 48 cases via Informal Resolution (14%) relative to 19 in 2018 (6%). This growth in informal resolutions, along with a small increase in closure at assessment, may explain the decrease in the percentage of cases resolved by formal investigation—23% (80 cases) in 2019 compared to 33% (105 cases) in 2018. For those matters that were formally investigated, 93% were completely resolved (compared to 86% in 2018), 7% were awaiting closure from another department (compared to 11% in 2018) and 0 formal investigations were ongoing (compared to 3% in 2018).

3a. Status of Reports Received in 2019³

This section provides data on the number and type of reports OIE received in calendar year 2019 (n=924), and the university affiliation of those involved in the reports. If a report included allegations of both sexual misconduct and protected-class discrimination or harassment, it has been counted as a sexual misconduct report unless otherwise noted.

Categories of Misconduct Reported in 2019



As shown in the above chart, 12% of sexual misconduct reports (n=51) involved claims of more than one type of sexual misconduct by the same respondent:

- 43 included a report of sexual harassment
- 34 included a report of stalking

³Due to rounding, percentages may not sum to 100% throughout this document, including in charts and tables.

The chart also shows that 9% of sexual misconduct reports (n=40) included both sexual and protected-class discrimination and harassment:

- 25 included a report of gender/gender expression/sex-based discrimination/harassment
- 10 included a report of race-based discrimination/harassment
- 10 included a report of sexual orientation-based discrimination/harassment
- 3 included a report of national-origin based discrimination/harassment

As shown above, 32% of the total reports of protected-class discrimination and harassment received in 2019 involved multiple protected categories.

- 81 included a report of race-based discrimination/harassment
- 43 included a report of gender/sex-based discrimination/harassment
- 26 included a report of retaliation
- 15 included a report of disability-based discrimination/harassment
- 15 included a report of age-based discrimination/harassment

The below tables provide information about the University affiliation of parties involved in OIE reports received in 2019. Of the 432 sexual misconduct reports, 57% of the reports (n=246) involved students as complainants and 21% (n=90) involved staff complainants. Overall, sexual misconduct reports most frequently involved a student complainant and student respondent (30%, n=130), followed by a student complainant and a non-affiliated respondent (19%, n=80), and then by a staff complainant versus a staff respondent (11%, n=48).

2019 Sexual Misconduct Reports (n = 432): Affiliation of Parties

		Respondent Affiliation					TOTAL
		Student Respondent	Staff Respondent	Faculty Respondent	Multiple Affiliations Respondent	Non-Affiliate/ Unknown Respondent	
Complainant Affiliation	Student Complainant	130	19	17	0	80	246
	Staff Complainant	5	48	8	5	24	90
	Faculty Complainant	0	2	14	0	5	21
	Multiple Affiliations Complainant	1	4	4	2	0	11
	Non-Affiliate/ Unknown Complainant	15	11	12	4	22	64
TOTAL		151	84	55	11	131	432

For discrimination and harassment reports, staff were the most frequent complainants (45%, n=178) followed by students (34%, n=136). Overall, discrimination/harassment reports most frequently involved a staff complainant and staff respondent (32%, n=127), followed by a student complainant and a student respondent (13%, n=51), and then by a student complainant versus a faculty respondent (11%, n=45).

**2019 Protected-Class Discrimination/Harassment Reports (n = 399):
Affiliation of Parties**

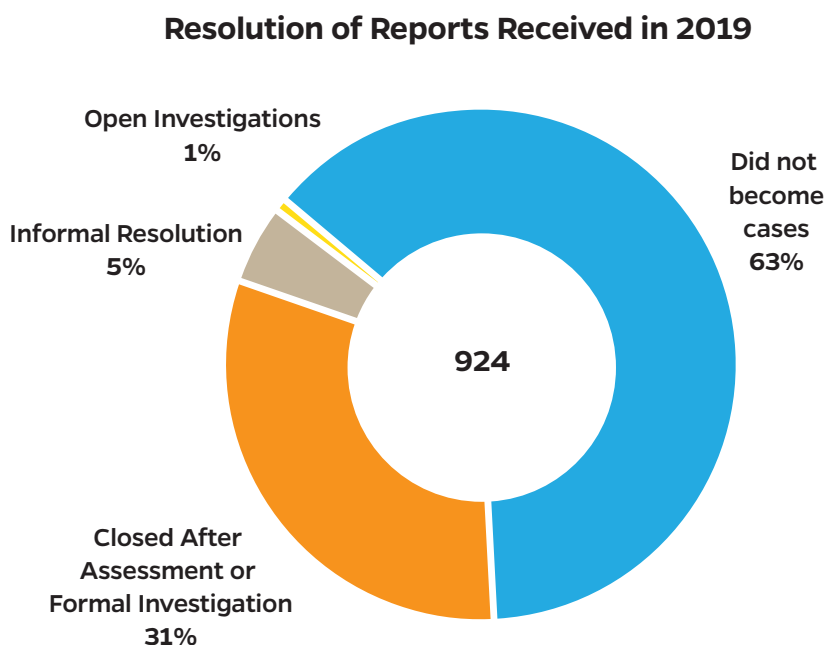
		Respondent Affiliation					TOTAL
		Student Respondent	Staff Respondent	Faculty Respondent	Multiple Affiliations Respondent	Non-Affiliate/Unknown Respondent	
Complainant Affiliation	Student Complainant	51	25	45	1	14	136
	Staff Complainant	0	127	32	4	15	178
	Faculty Complainant	6	8	21	1	6	42
	Multiple Affiliations Complainant	0	1	10	4	1	16
	Non-Affiliate/Unknown Complainant	0	16	7	2	2	27
TOTAL		57	177	115	12	38	399

3b. Resolution of Reports Received in 2019

When OIE receives a report of sexual misconduct and/or protected-class discrimination or harassment, OIE staff members reach out to the person reported to have experienced the misconduct—even if OIE received the report from someone else—to provide information about the complaint process, obtain additional details, offer resources and support, and discuss options, including interim measures available to help all individuals feel safe and supported while OIE reviews the matter.

Some reports do not proceed for a number of reasons noted below. Even when a report does not proceed, OIE preserves the records of that report. When a complainant is known, we continue to offer resources and support. Reports that do not proceed generally may be reopened at any time based on new information and/or a request by the complainant for further assessment.

If a report proceeds, it becomes a case and is assessed by appropriate OIE staff members, who may interview parties and witnesses and review evidence. A formal investigation typically will proceed if it is determined that the reported allegations could violate university policy under OIE authority; OIE has sufficient information to proceed with an investigation; and the complainant is engaged and desires a formal investigation (or, in rare situations, where OIE has a responsibility to investigate even without the complainant’s agreement).⁴ If the reported allegations do not meet these criteria, the case is closed.



Of the 924 reports received by OIE in 2019, 579 (63%) did not become cases. The average time it took OIE to resolve these 579 reports was 21 days, and the median was 16 days. This reflects a faster resolution time than in 2018, when OIE received 446 such reports and took an average of 29 days to resolve them.

⁴Under the current Sexual Misconduct Policy and Procedures, which went into effect on August 14, 2020 and applies to reports of sexual misconduct alleged to have occurred on or after that date, there may be additional requirements to commence an investigation of alleged violations of Title IX.

Reports That Did Not Become Cases, Reported in 2019⁵ (n=579)

OIE referred the matter to another department	177	31%
OIE did not have enough information to move forward	119	21%
Complainant did not want to move forward	115	20%
Complainant did not engage	65	11%
JHU had no authority over the respondent	65	11%
No protected class	35	6%
Other	3	1%
Total Reports that Did Not Become Cases	579	100%

As shown above, the primary reason why a report did not become a case in 2019 was because OIE referred the report to another department. This occurs when, after receiving and reviewing the report, OIE concludes that the concerns raised do not fall within OIE’s jurisdiction and should be referred to another office or department, such as Student Conduct or Human Resources. In 2019, the number of reports that OIE referred to other departments increased by more than 100 compared to 2018 (n=76). This suggests both a growing awareness of OIE as a resource for concerns as well as an opportunity to enhance our community’s understanding of the specific types of issues OIE handles.

When OIE closes a report that potentially could have become a case—such as when a complainant requests closure, when a complainant did not respond to OIE’s outreach, or when the complainant decides not to provide information that might allow OIE to move forward—OIE still provides information about the services we offer as well as other resources. In addition, OIE makes clear that individuals can come back to OIE at a later point if they wish.

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.⁶ Of the 579 reports that did not become cases, 392 (68%) came to OIE from a Responsible Employee, rather than directly from the complainant reporting to OIE. In such situations, when OIE followed up on the Responsible Employee report, OIE found that 22% of complainants declined to move forward or chose not to engage with OIE at all, perhaps because they did not intend for or expect OIE to become involved. OIE also determined that another 22% of the reports should be referred to another department rather than handled by OIE. However, almost one third of Responsible Employee reports in 2019 (n=160) became cases, resulting in an OIE assessment, an investigation, or an informal resolution.

⁵For 209 of the 579 reports received in 2019 that did not become cases, more than one of the below-listed situations applied. OIE categorized such reports under the primary reason they did not become a case.

⁶Responsible Employees include faculty, coaches, resident advisors, human resources personnel, supervisory employees, and others designated by university policy. See <https://sexualassault.jhu.edu/policies-laws/>.

Resolution of Reports Received from Responsible Employees in 2019 (n = 552)

160 Responsible Employee Reports (29%) Became Cases	Closed after assessment or formal investigation	124	22%
	Informal resolution	33	6%
	Open investigations (both with OIE and external decision-maker)	3	1%
392 Responsible Employee Reports (71%) Were Closed Without Becoming Cases	OIE referred to other department	123	22%
	Complainant did not want to move forward	81	15%
	OIE did not have enough information to move forward	73	13%
	Complainant did not engage	38	7%
	JHU did not have authority over respondent	56	10%
	No protected class	18	3%
	Other	3	1%
Total Responsible Employee Reports		552	100%

OIE welcomes the continued increase in Responsible Employee reporting and encourages Responsible Employees and others to bring concerns to OIE, even if they are not certain whether OIE is the appropriate office.

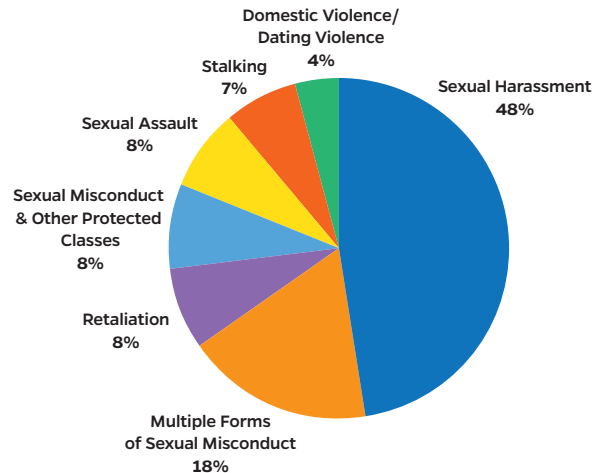
3c. Cases Addressed by OIE From Reports Received in 2019

Of the 924 reports OIE received in 2019, 345 became cases that moved on to assessment, informal resolution, or formal investigation. Of those, 129 were related to sexual misconduct and 216 were related to protected-class discrimination and/or harassment.

At the end of its assessment or investigation of a 2019 case, OIE prepares an assessment summary or investigative report. After a formal investigation, OIE's final report provides either a finding on whether there has been a violation of university policy (in cases of protected-class discrimination or harassment) or a recommendation of such a finding (in cases of sexual misconduct). Depending on whether the respondent is a student, staff member, or member of the faculty, OIE provides its report to a three-person resolution panel organized by Student Affairs (for students), the respondent's academic division (for faculty), or the respondent's management and Human Resources (for staff). OIE also provides a recommendation for action, if needed. The relevant entity then reviews and makes any decision on sanctions or other responsive actions.⁷ Even where OIE does not find a policy violation, the office may recommend a particular action, for example, training for an individual or group.

⁷Effective August 14, 2020, OIE revised the Sexual Misconduct Policy and Procedures and the Discrimination and Harassment Policy and Procedures to comply with new federal regulations. As a result, the procedures utilized to address certain types of sexual misconduct and sex/gender-based harassment will differ when the alleged conduct occurred on or after August 14, 2020.

Types of Cases Related to Sexual Misconduct in 2019 (n = 129)



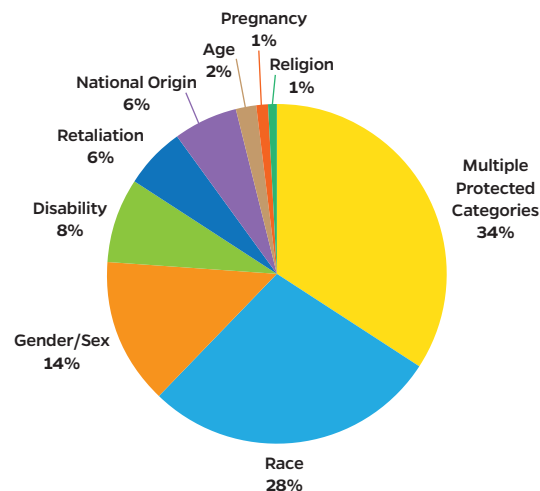
Twenty-three cases of sexual misconduct (18%) involved claims of more than one type of sexual misconduct by the same respondent:

- 21 included a report of sexual harassment
- 14 included a report of stalking

Ten sexual misconduct cases (8%) included both sexual and protected-class discrimination and harassment.

- 5 included a report of race-based discrimination/ harassment
- 5 included a report of gender/ gender expression discrimination/harassment

Types of Cases Related to Protected-Class Discrimination and Harassment in 2019 (n = 216)



Seventy-four cases of protected-class discrimination and harassment (34%) involved claims of discrimination/harassment based on more than one protected class:

- 48 included a report of race-based discrimination/harassment
- 18 included a report of retaliation
- 24 included a report of gender/sex-based discrimination/harassment
- 13 included a report of age-based discrimination/harassment
- 8 included a report of disability-based discrimination/harassment

The below tables provide information about the University affiliation of parties involved in OIE cases that resulted from reports received in 2019. Of the 129 sexual misconduct cases, 50% of the cases (n=64) involved students as complainants and 29% (n=37) involved staff complainants. Overall, sexual misconduct cases most frequently involved a student complainant and student respondent (30%, n=39) followed by a staff complainant and a staff respondent (19%, n=24).⁸

2019 Sexual Misconduct Cases (n = 129): Affiliation of Parties

		Respondent Affiliation					TOTAL
		Student Respondent	Staff Respondent	Faculty Respondent	Multiple Affiliations Respondent	Non-Affiliate/ Unknown Respondent	
Complainant Affiliation	Student Complainant	39	12	13	0	0	64
	Staff Complainant	1	24	10	0	2	37
	Faculty Complainant	0	0	3	0	0	3
	Multiple Affiliations Complainant	0	0	1	2	0	3
	Non-Affiliate/ Unknown Complainant	7	5	10	0	0	22
TOTAL		47	41	37	2	2	129

For discrimination and harassment cases, staff were the most frequent complainants (51%, n=110) followed by students (27%, n=59). Overall, discrimination/harassment cases most frequently involved a staff complainant and staff respondent (40%, n=87), followed by a student complainant and a student respondent (15%, n=32), and then by a staff complainant versus a faculty respondent (10%, n=21).

⁸As shown on page 10, OIE received 131 reports in which a non-affiliate was the respondent. Such reports typically do not become cases because the University lacks authority over non-affiliates.

**2019 Protected-Class Discrimination/Harassment Cases (n = 216):
Affiliation of Parties**

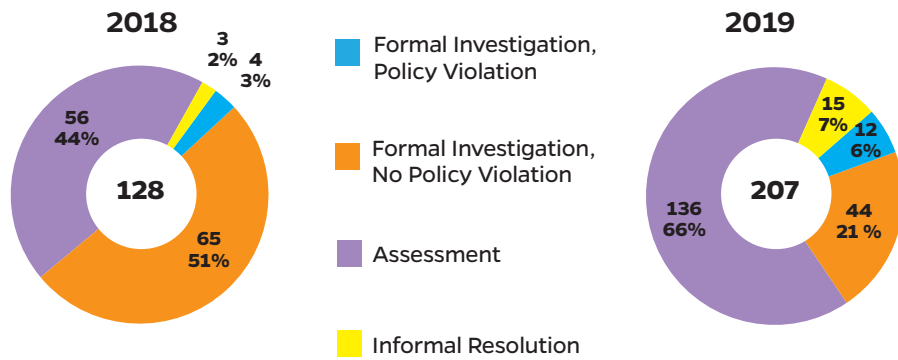
		Respondent Affiliation					TOTAL
		Student Respondent	Staff Respondent	Faculty Respondent	Multiple Affiliations Respondent	Non-Affiliate/ Unknown Respondent	
Complainant Affiliation	Student Complainant	32	7	17	1	2	59
	Staff Complainant	0	87	21	2	0	110
	Faculty Complainant	5	4	11	1	0	21
	Multiple Affiliations Complainant	0	1	3	3	0	7
	Non-Affiliate/ Unknown Complainant	0	12	5	2	0	19
TOTAL		37	111	57	9	2	216

4. Outcomes of Cases Closed in 2019

During 2019, OIE closed 350 cases of sexual misconduct and protected-class discrimination/harassment following an assessment, an informal resolution, or a formal investigation—51 more cases than OIE closed in 2018. One hundred and forty-three cases (41%) were related to sexual misconduct, and 207 cases (59%) were related to protected-class discrimination and harassment. Of these 350 cases, 108 were received prior to 2019 and continued into 2019.

Ninety four of the 350 cases were closed via a formal investigation. Even when an investigation does not result in a finding of discrimination, harassment or sexual misconduct, OIE regularly recommends follow up actions to address inappropriate or otherwise problematic conduct, practices, and/or concerns uncovered during investigations. OIE recommendations may include addressing such conduct under other applicable policies (e.g., HR or departmental policies), mandatory diversity or anti-discrimination training, and/or other forms of coaching and counseling.

Outcomes of Protected-Class Discrimination and Harassment Cases Closed in 2018 v. 2019



Outcomes of Protected-Class Discrimination and Harassment Formal Investigations Closed in 2018 v. 2019



Of the 56 discrimination/harassment investigations that closed in 2019, OIE found no policy violation in 44 matters. In 23 of those 44 investigations (52%), OIE made recommendations regarding conduct, practices, and/or concerns uncovered during the investigations.

Outcomes of Sexual Misconduct Cases Closed in 2018 v. 2019



Outcomes of Sexual Misconduct Formal Investigations Closed in 2018 v. 2019



Of the 38 sexual misconduct investigations that closed in 2019, OIE recommended no policy violation in 15 matters. In 8 of those 15 matters (53%), OIE made recommendations regarding conduct, practices, and/or concerns uncovered during the investigations.

Overall, of the 94 formal investigations closed in 2019, 37% (35 investigations) resulted in a finding of an OIE policy violation(s), 33% (31 investigations) resulted in OIE recommendations but no policy violation, and 30% (28 investigations) resulted in no policy violations or recommendations.

Some respondents in OIE cases closed in 2019 received the following sanctions:

- | | |
|---------------------------------|-----------------------------------|
| Expulsion | Termination/removal from position |
| Suspension | Termination & tenure revocation |
| Deferred suspension | Separation from employment |
| Deferred graduation | Final written warning |
| Prohibition from future studies | Formal reprimand or notation |
| Disciplinary probation | Removal from leadership role |
| Educational sanctions | Administrative sanctions |
| Campus access restrictions | Counseling/coaching |

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.

The above list does not include sanctions against non-JHU affiliated respondents. For instance, in CY2019, OIE additionally was involved in the issuance of access restrictions, re-assignment or removal of 15 non-affiliates who were reported for engaging in sexual misconduct that impacted the university community.

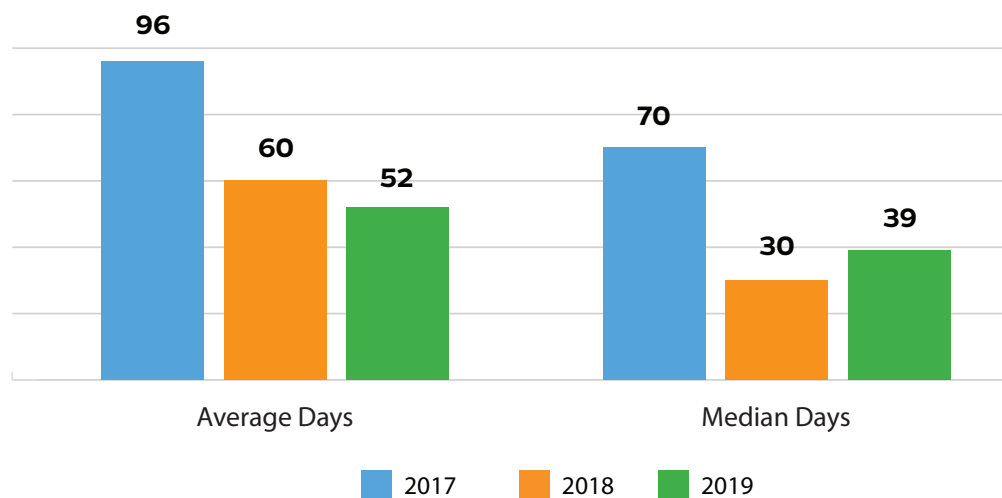
The above list also does not include corrective and supportive measures that were not considered sanctions but were designed to address concerns, often as a result of OIE's recommendations. For example, OIE implemented 10 mutual, non-punitive No Contact Orders between the parties following an investigation. Following assessments or informal resolutions, 17 sexual misconduct respondents and 13 protected-class discrimination/harassment respondents received educational and/or behavior conversations, professional counseling/coaching, HR-initiated suspensions, and separation from employment. Such measures have also included changes in work assignments and one-on-one training with OIE.

4a. Timelines for Cases Closed in 2019

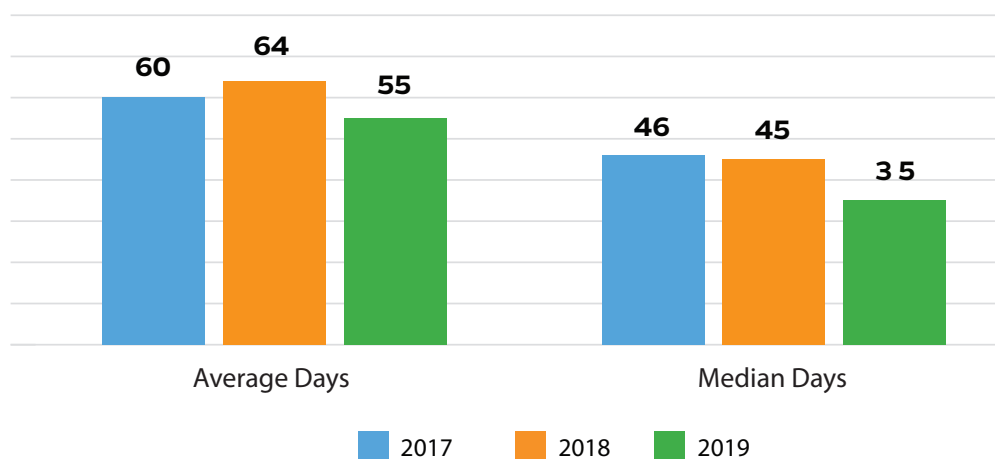
In 2019, OIE continued efforts to streamline our processes in order to close cases faster without compromising the quality of our work. For the 350 cases closed in 2019, the average time to close was 102 days, with a median of 61 days. Although there is room for further progress, this reflected an improvement over 2018, when the average time to close a case was 130 days with a median of 105 days. In fact, OIE reduced its average timeline in 2019 while closing 51 more cases than in 2018 (350 compared to 299).

The improved timelines were driven in part by faster assessments and informal resolutions. This is significant because the vast majority of cases closed in 2019 – 73% of sexual misconduct cases and 73% of discrimination/ harassment cases – were closed via one of these two mechanisms. As shown below, the average time for closing a case by assessment or informal resolution in 2019 was 52 days for discrimination/harassment matters and 55 days for sexual misconduct matters.

Days to Close Protected Class Discrimination/Harassment Assessments and Informal Resolutions

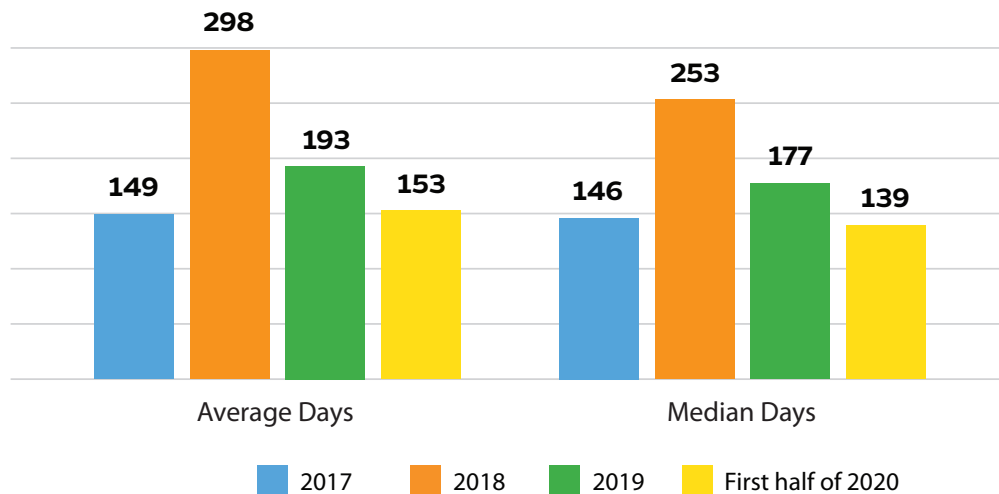


Days to Close Sexual Misconduct Assessments and Informal Resolutions



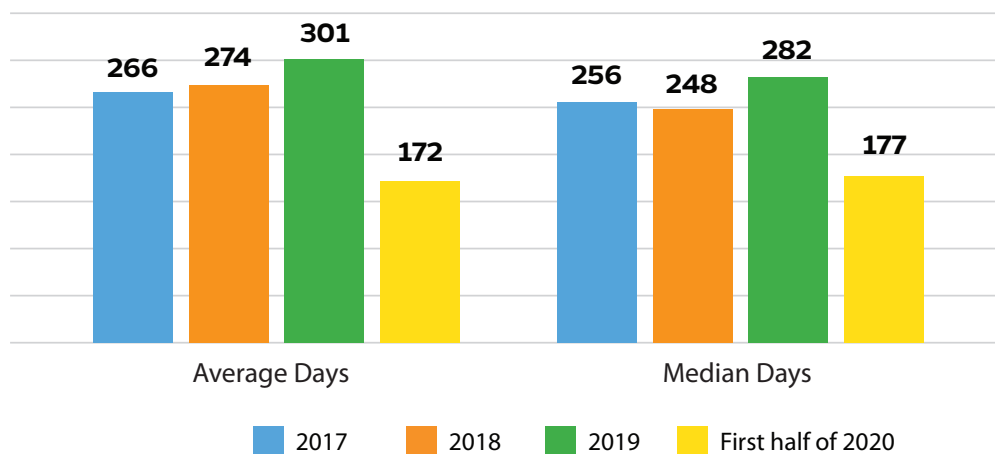
In reviewing the 2019 timelines for formal investigations, we are pleased to report a notable decrease in the timeline for discrimination and harassment investigations. As shown below, OIE reduced the average time to close a formal investigation of a discrimination/harassment matter by 105 days compared to 2018. Moreover, we have seen a continuation of this progress in the first half of 2020.

Days to Close Protected Class Discrimination/Harassment Investigations



Unfortunately, we cannot report the same progress in timelines for sexual misconduct matters closed in 2019, which increased compared to 2018. However, as OIE has continued to employ streamlining and efficiency tactics, we have seen significantly reduced timelines for sexual misconduct investigations in the first half of 2020.

Days to Close Sexual Misconduct Investigations



The timeline of sexual misconduct investigations—unlike the timeline for discrimination/harassment investigations—includes a significant amount of time after OIE’s investigative work has been completed. In the next section we look more closely at the phases of sexual misconduct investigations and how this has impacted timelines.

Common reasons OIE had to extend its investigations were:

- Complainant or respondent availability
- Delayed participation by parties
- Complexity of cases (nature and scope of allegations)
- Extensive documentation review
- Academic calendar (e.g., exam periods, breaks, etc.)
- Additional witnesses needed
- Witness participation
- Coordination with supporters
- Number of witnesses involved
- Translation services
- Investigator caseload
- Evidence gathering in a concurrent law enforcement investigation

4b. Timelines for Phases of Sexual Misconduct Investigations Closed in 2019

As described earlier, when OIE first receives a report, we engage with the complainant to gather information and determine next steps. If we initiate an investigation, we provide the parties with a written notice that the investigation is commencing. After completing the investigation and investigative report, OIE provides its recommendations to the Resolution Panel (for students) or to the relevant external decision-maker (for staff/faculty). While OIE generally has completed its work at this point, we cannot close the case until the external decision-maker decides upon and takes action and communicates this to the parties. Thus, every day that an OIE matter is with a panel or external decision-maker increases OIE’s timeline.

In 2018, OIE began tracking the time spent in each phase of the formal investigation process for sexual misconduct cases to identify opportunities for improvement. The charts below utilize the following definitions:

- **Time in OIE:** The time from OIE’s first receipt of the report until OIE provides its recommendations to the external decision-maker(s).
- **Time with External Decision-maker:** The time from when OIE provides its recommendations to the external decision-maker until the decision-makers take and communicate their decision, allowing OIE to close the case.
- **Total Time:** The time from OIE’s first receipt of the report until the report is completely closed.

**Days in Phases of Sexual Misconduct Investigations
For Cases Closed in 2018 , 2019 and the 1st Half of 2020⁹**

	Average Time			Median		
	2018	2019	1st Half of 2020	2018	2019	1st Half of 2020
Time in OIE	209	208	122	173	185	134
Time With External Decision-Maker After OIE Investigation is Complete	53	86	49	38	70	42
Total Time	274	301	172	248	282	177

These data indicate that “Time in OIE” remained consistent from 2018 to 2019 but showed significant improvement by the first half of 2020. The data further show that, in 2019, external decision-makers took an average of 33 days longer to issue decisions on OIE sexual misconduct reports than they did in 2018. However, in the first half of 2020, the average timeline for the external decision-makers improved to slightly faster than in 2018.

OIE remains committed to streamlining its process for sexual misconduct investigations and enhancing coordination with decision-makers to facilitate the most expeditious resolution for the parties.

⁹OIE closed 45 sexual misconduct investigations in 2018, 38 sexual misconduct investigations in 2019, and 27 sexual misconduct investigations in the first half of 2020.

OIE Team & Resources

OIE offers information and assistance to all members of the Johns Hopkins University community. Vice Provost Shanon Shumpert, JD joined the university in July 2020 to lead the Office of Institutional Equity. Joy Gaslevic, JD, serves as assistant vice provost and Title IX coordinator. Shanon and Joy both bring to OIE significant experience in higher education and the handling of discrimination and harassment matters.

The OIE team, which has grown in number in recent years, includes 14 other full-time positions: a deputy Title IX coordinator, seven equity compliance investigators, a director of case management, an investigator assistant, an ADA compliance officer, an assistant for workplace accommodations, and two support staff.

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

JHU Student Health and Wellness Center

410-516-8270

<https://studentaffairs.jhu.edu/student-health>

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

Services:

Acute and chronic illness care, physical exams and immunizations, weight and nutrition, reproductive health care, alcohol and drug assessments

Available to:

KSAS, WSE, and Peabody students, Post-doctoral Fellows at KSAS, WSE, SOE, and Sheridan Libraries

Level of Confidentiality:

Confidential

JHU Sexual Assault Hotline

410-516-7333

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

Services:

Counseling support, resources, options for medical care, reporting options

Available to:

All JHU students

Level of Confidentiality:

Confidential

JHU Counseling Center

410-516-8278

<http://jhu.edu/counselingcenter>

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

Services:

Individual, group, and couples therapy, workshops, self-help, and assessments

Available to:

KSAS, WSE, and Peabody students

Level of Confidentiality:

Confidential

mySupport

443-997-7000

<https://hr.jhu.edu/benefits-worklife/support-programs>

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

Services:

Short-term counseling, resources to help a colleague, resources for management, crisis response services, financial assistance program (FAP)

Available to:

University faculty, staff & their immediate family members

Level of Confidentiality:

Confidential

University Health Services (UHS)

410-955-3250

<https://www.hopkinsmedicine.org/uhs>

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

Services:

Medical evaluation and medication management, psychiatric assessment and treatment, individual therapy

Available to:

BSPH, SOM, and SON students, residents, fellows, trainees & their immediate family members

Level of Confidentiality:

Confidential

Speak2Us/Ethics & Compliance Hotline

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

<https://secure.ethicspoint.com/domain/media/en/gui/65464/index.html>

24/7 hotline to report concerns or complaints about unethical or illegal acts that are

detrimental to JHU and harmful to patients, students, faculty, staff and visitors, anonymous reporting available

Services:

Reporting mechanism

Available to:

Students, staff, faculty, patients, and non-affiliates

Level of Confidentiality:

Discreet, not confidential

Campus Safety and Security

410-516-4600 (Campus Security)

410-516-7777 (Campus Police)

<http://security.jhu.edu>

Ensures on-campus safety

Alerts the JHU community in the event of a safety concern

Services:

Neighborhood walks, escort program, rape aggression defense, LiveSafe app

Available to:

Johns Hopkins community

Level of Confidentiality:

Discreet, not confidential

Student Assistance Program (JHSAP)

443-287-7000

<https://jhsap.org>

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

Services:

Short-term counseling, crisis response, healthy relationship support, school-life coaching and adjustment, educational workshops, dean, faculty and staff consultations

Available to:

BSPH, SOM, SON, Carey, SOE, SAIS, AAP, Engineering for Professionals graduate students

Level of Confidentiality:

Confidential

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