Cornell University
University Assembly

Jim Blair
Chair, AY 2015
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April 9, 2015

Mr. Ulysses Smith
Coordinator, Inclusion & Compliance Programs
Department of Inclusion & Workforce Diversity
109 Day Hall
Ithaca NY 14853

Subject: Appointment of Assembly Representatives to the Policy 6.4 Working Group

Dear Mr. Smith,

1. As requested in your e-mail of April 6, 2015, the University Assembly is pleased to appoint Ms. Juliana Batista '16 (jrb473) and Mr. Matthew Battaglia '16 (mab622) to serve on the Policy 6.4 Working Group.

2. These members have been charged by the Assembly to meet the full participation and engagement expectations of the working group as well as maintain appropriate confidentiality of the working group's deliberations and discussions. That said, they are also charged with keeping the Assembly appropriately informed of the working group's progress and will be expected to present, or arrange, a full presentation to the Assembly of the working group's ultimate recommendations once the working group's task is complete.

3. Thank you for incorporating the Assemblies into this very important project. Please contact me directly if you have any questions.

Sincerely,

James N. Blair
Chair

Atttachment:
E-mail from U. Smith, "Policy 6.4 Working Group," dated April 6, 2015

cc:
J. Batista
M. Battaglia
Office of the Assemblies (G. Giambattista)
UA Codes & Judicial Committee Chair (R. Wayne)
UA Policy Advisory Group Liaison (E. Loew)
UA Executive Committee (J. Blair, M. Battaglia, M. Hatch, C. Best)

Subject: Policy 6.4 Working Group

Date: Monday, April 6, 2015 at 10:27:16 AM Eastern Daylight Time

From: Ulysses James Smith

To: Kai Weng (Catherine) Wong, Richard Connor Walroth, Sarah Emily Balik, Juliana Rose Batista, Gregory Norris Mezey, BJ Siasoco, Jim Blair, Matthew Andrew Battaglia

CC: Gina A. Giambattista

Good morning:

As some of you might already be aware, the university is beginning the process of revising Policy 6.4, which is the university's procedure for addressing discrimination, harassment and sexual assault. As background, this policy was developed in 1996 as the procedure to address sexual harassment. However, there wasn't an effective way to address other forms of harassment and discrimination, so we incorporated these areas into the policy sometime between 2003 and 2007. In 2011, when the Department of Education issued the Dear Colleague Letter, we decided to incorporate issues involving sexual assault into the policy. When the Violence Against Women Act was passed, we added all other forms of sexual violence.

The policy applies to all constituent groups, although there can be a distinction in the investigative procedure depending on who the parties are. Our plan is to do a major overhaul of this policy to create a shorter version of the policy with links to procedures for pursuing a complaint depending on what your Cornell status is (student, faculty, staff, etc.) and what your basis of complaint is (discrimination, sexual assault, etc.). As a note, this policy applies to Weill and all of our New York operations.

As part of the process for policy development, we are looking to engage the constituent assemblies in a formal working group. The group will be comprised of representatives from each of the constituent assemblies, the UA, and the Faculty Senate. We will also pull in the JCC and someone from the JA's office.

The charge of this group shall be:
· To identify what issues the university should address in streamlining 6.4 and corresponding procedures
· To identify constituent-specific challenges in the process
· Develop a mechanism to solicit and collect feedback on the policy from the constituent groups

The working group will meet a total of three times: one organizational meeting the week of April 13; a follow-up meeting to review the constituent feedback the week of April 27; and a final meeting to review the review the revised policy in the fall.

I am requesting that each assembly appoint two (2) representatives to serve on this group. As leadership is changing within the assemblies, you may appoint an additional person to sit in on the working group if you expect a member to not be present in the fall.

I understand this is short notice, but if you could appoint these individuals and send me their names by **this Friday (April 10)**, that would be amazing.

Attached, you will find the Project Initiation Plan that has been developed. This serves as our guide and timeline. If you have any questions, please feel free to contact me.
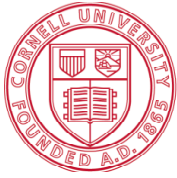
Best,
Ulysses

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Project Initiation Plan

Project Name: Revision of Policy 6.4	Key Priority Name: Expanding Efforts to Create an Inclusive Climate
Business Unit / Program Area (Customer)	Cornell-affiliated members of the community
Sponsors:	Mary Opperman, VP for HR & Safety Services; Susan Murphy, VP for Student Academic Services; John Siliciano, Senior Vice Provost; Jim Mingle, University Counsel
Start Date:	March 2015
End Date:	June 30, 2016
Responsible Parties	Title IX Coordinators: Lynette Chappell-Williams,; Alan Mittman, Anita Brenner, Mary Beth Grant, Joe Murray, Rache Simmons, Angela Carter, Randi Silver,
Project Team Members:	Laurel Parker, Ulysses Smith, Jamal Lopez

Project Purpose (*What are the goals/objectives of this project? Why are we undertaking it? What is the problem to be solved or the opportunity?*)

Revise Policy 6.4 to create policy statement with links to procedures for each constituent group and aspect of diversity with the goal of making the policy and procedures more "user friendly" while compliant with all federal and state regulations.

Success Criteria (*How do we know we are successful? What metrics will be used to measure success?*)

- Pre-policy development feedback meetings are held
- Revisions to policy are completed, shared with stakeholders, and approved through the university's approval process.
- The university experiences an increase in both the awareness and utilization of the policy's procedures.
- Based on pulse surveys, feedback supports that the Cornell-affiliated community members understand the operation of the policy and are/would be comfortable using it

Project Scope (*What is in scope and what is not in scope for this project?*)

In scope: Sexual harassment, assault, and violence matters on and surrounding the Ithaca campus, at Cornell satellite locations, and Weill.

Not in scope: Cornelians located at Quatar campuses and county funded Cooperative Extension Offices.

Key Deliverables with time frames (*What and When*)

Deliverable	Description	Success Measure(s)	Completion Date
Meeting with Cornell	Meeting of John Siliciano, Mary Beth	Meeting held, Law	April 30, 2015

law school faculty	Grant and Alan MIttman and Cornell law school faculty meet to p to the current policy 6.4 proceduovide feedback on the handling of complaints for sexual assault claims	School faculty input obtained and incorporated into community feedback sessions about the policy 6.4 procedures for sexual assault	
Feedback to understand Cornell community's challenges in the process for handling sexual assault claims	Host feedback sessions on Ithaca and Weill campuses to understand what issues the university should address in streamlining policy 6.4 and the corresponding procedures	Sessions are held on Ithaca campus and on Weill campus with medical students, Judicial Codes Counselors, and University Assembly leadership to create list of challenges to address in re-designing 6.4;web page is established for community members to provide feedback.	Meetings held by April 30, 2015

Web Page established April 30, 2015 |
| Policy benchmarking | Review policies and procedures from select undergraduate institutions (e and medical school programs (Medical College of Wisconsin, Mt. Sinai, Medical College of South Caroline, Rush University Medical Center, Rosalind Franklin School of Medicine, and Yale University) and determine what aspects to include in Cornell's policy and procedures | Selected institutions identified and contacted; recommended consideration of other institutions' policies and procedures shared with Executive Title IX Committee | Policy/procedure review completed by June 30, 2015 |
| Development of draft policy and constituent procedures | Develop "user friendly" policy, based on feedback from feedback sessions

Develop "user friendly" grid of procedures for constituent group members and challenged action, determine what aspects of the complaint process will be uniform across all procedures and where there are unique procedures required, develop procedure for | Policy and procedures are developed based on benchmarking and feedback from community sessions statement developed, and input from Jody, | July 31, 2015 |

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	each population	Sara, Brian Patchkowski, and Title IX Coordinator from another institution	
Policy statement on training obligations	Discuss with Counsel's office and executive team whether there is a need for a policy statement on training obligations and, if so, develop the policy.	Input from Counsel's office and Executive Team incorporated; policy developed if required	Meeting held in August 2015 Policy (if required) developed September 30, 2015
Draft of "user friendly" policy and procedures revised based on legal/regulatory requirements	Meet with Counsel's office to review the draft policy and procedures for legal sufficiency	User friendly policy and procedures revised based on feedback from Counsel's office	Meeting with Counsel's office in August 2015
Final review of streamlined policy and procedures	Title IX coordinators meet with the Executive Title IX team and identified law school faculty members for a review of the streamlined policy and procedures, incorporate the feedback received from the Executive team and law school faculty, then forward the revised policy to the Executive team, for a final approval.	Title IX Coordinators meet with Executive Title IX team and law school faculty Feedback from meeting incorporated into policy and procedures Executive Team approves final version of policy and procedures for preliminary stakeholder review	Meeting with Executive team and law school faculty held in September 2015.
Stakeholder Review	Streamlined policy and procedures are shared by the Title IX coordinators with Laura Weiss, Charlie Walcott, Nina Cummings, Judicial Code Counselors, University Diversity Officers, UA constituents, representatives Dave Honan, dean of faculty, and risk management for feedback on revised policy and procedures	Meeting(s) held with stakeholders. Stakeholder feedback incorporated into policy and procedures and shared with Executive Title IX team for approval.	Preliminary stakeholder meetings held in September 2015. Community stakeholder meetings held in September, October and November, 2015.

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	Community stakeholder meetings held on both campuses.		for feedback
			Stakeholder feedback for new policy/procedures incorporated into draft of policy in December 2015 and January 2016.
Final policy Community stakeholder review and approval of policy by Executive Committee	Title IX Coordinators will hold stakeholder meetings for feedback on final revised policy with CJC, sexual harassment advisors, sexual assault prevention working group, Counsel's office, and select members from Weill community Title IX coordinators will incorporate feedback from all meetings into draft policy and meet with Executive team for approval.	Stakeholder reviews completed and policy revised and approved by executive committee	Stakeholder meetings held in February 2016. Revised policy and procedures, based on feedback from stakeholder meetings, developed and shared with Executive Committee for approval by March 30, 2016
Policy Advisory Group Review	Submission of Revised Policy Through Policy Advisory Group Process	Policy approved by PAG	April 15, 2016
Executive Policy Review Group Review	Submission of Revised Policy Through Executive Policy Review Group Process	Policy approved by EPRG	April 30, 2016
Development of publicity campaign	In conjunction with Ithaca and Weill Communications, Dean of Students, and Human Resources, develop and implement informational campaign about new policy and procedures	Information about policy on SHARE website, marketing materials developed and ready for distribution	Completed by end of July 2016

Needed Resources *($, people, communications, equipment, facilities, software, etc)*
• Staffing to convene feedback and stakeholder meetings, funds for refreshments for meetings

Stakeholders *(Who is the Sponsor, Project Manager, Customers, other key groups who can impact, or be impacted by this project?)*
• Mary Opperman, Susan Murphy, Jim Mingle, John Siliciano, University Diversity Council, Human Resources, Judicial Code Counselors, Law School faculty, Sexual Violence Prevention Council, Sheryl Orwell, Nora Salvatore, University Assemblies, Weill and Cornell community members, Cornell University Police Department

Risks *(Resource limitations, deadlines, budget, technology, other constraints, or risks of the project)*
• Lack of support from relevant groups, lack of staff resources to maintain schedule for developing revised policy 6.4