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Mission Statement

The Division of Human Resources and Safety Services fosters a safe, secure environment where the students, staff and faculty of Cornell learn, work and live as a community to advance the university’s mission and purpose.
As Cornell University approaches its sesquicentennial, Human Resources and Safety Services plays a key role in the future of the university. We are prepared to provide the leadership required to foster a safe, secure environment where a diverse student, staff and faculty community can learn, work and live as we advance the university’s mission.

This fiscal year we launched a new system that will change the way our division operates, moved toward a more active recruitment model to support the faculty/staff renewal efforts and provided critical safety measures that protect the Cornell community.

Human resource staff and leaders from across the university launched Workday, a cloud-based human capital management system, in March 2013. Workday puts HR data into the hands of managers across campus. They now have direct and immediate access to information they need to manage staff, and all staff and faculty have easier access to their own information.

With faculty renewal and staff hiring a priority, the Recruitment and Employment Center (REC) enhanced its outreach efforts by placing an emphasis on increasing staff diversity, attracting current and former members of America’s military, and promoting Cornell as a world-class employer.

In fiscal year 2013, REC strengthened the university’s military talent pipeline and outreach efforts by collaborating with employees from the Cornell Veteran Colleague Network Group, and the Cornell University Police Department (CUPD) to attend three career fairs held at the Fort Drum Military Transition Center. As a result, military applicants went up by 19.8%.

Environmental Health and Safety and, CUPD continued their work to keep the campus safe and compliant to a wide array of regulations that apply to our campus.

The university avoided innumerable fines associated with water permitting as EH&S kept Cornell in compliance with these requirements. The International Association of Campus Law Enforcement Administrators again accredited the CUPD for demonstrating a commitment to the highest professional practices in campus public safety management, administration, and support services. Campus physical security and emergency management training remain priorities in safety services.

In addition to our planned FY13 goals, Human Resources and Safety Services contributed to the university’s response to a series of sexual assaults and bias incidents in the Fall of 2012. These incidents touched our division in a number of ways. Our contributions include involvement in the investigations, community outreach, training, policy updates, and leadership of the emergency management teams in charge of responding to the campus. We were fortunate to have the emergency system in place and are now even better equipped to manage campus incidents.

As we close another fiscal year, our division is better positioned to meet the challenges that are ahead of us. We appreciate the opportunity to serve the Cornell community.

Mary George Opperman
Vice President, Human Resources and Safety Services
FY13 Goals and Objectives

Human Resources and Workforce Inclusion & Diversity

Support staff and faculty excellence

- Increase diversity of Cornell’s workforce and create an inclusive climate; Cornell the best employer for faculty and staff of diverse backgrounds
- Deliver training that addresses the management culture at Cornell focusing on civility, respect and moral leadership
- Develop a succession strategy in key Cornell populations and institutionalize practices
- Design and provide HR programs to Cornell NYC Tech as needed
- Develop clear strategies and tools to support faculty recruitment
- Address the HR needs of academics
- Conduct job family reviews for Student Services, Athletics, Human Resources, and anchor roles in administration
- Develop a university-wide response to the four common themes identified in the employee survey: career growth and movement; supervisor feedback; workload analysis and balance; recognition/award
- Respond to the needs of HR & Safety Services staff as identified in the employee survey results

Organizational Stewardship

- Continue to modify faculty, staff and retiree health plans to reduce the pressure on costs and properly anticipate the clinical services marketplace evolution
- Use the newly established Retirement Plan Oversight Committee (RPOC) to fully advance retirement plan compliance goals in the new regulatory environment
- Configure and deploy Workday HCM/Payroll application broadly across campus

Environmental Health and Safety

- Create and implement a water management strategy
- Develop a campus-wide chemical inventory system to ensure compliance with federal, state and local regulations
- Review and update health and safety policy 2.4

Cornell University Police

- Finish the Spillman Records Management System and Computer Aided Dispatch software (CAD/RMS) implementation
- Unify campus efforts to ensure compliance with federal, state, and local regulations
- Develop a Clery plan for Cornell NYC Tech

*A full list of HR&SS objectives is included in Appendix A*
Faculty and Staff Excellence

Increase the diversity of Cornell’s workforce and create an inclusive climate; Cornell the best employer for faculty and staff of diverse backgrounds

The recruitment and retention of a diverse faculty and staff remain top priorities of human resources in fiscal year 2013 (FY13). With the implementation of Toward New Destinations (see pages 22-23 for additional information), the university now holds colleges/units accountable for the diverse composition of the workforce. That is why the programs the Recruitment and Employment Center (REC) and the Department of Inclusion and Workforce Diversity (DIWD), which support recruitment and retention efforts, are vitality important to the university in achieving its goal of creating a diverse workforce.

Recruitment Outreach Efforts
REC expanded its efforts to develop talent pipelines, which build an available pool of qualified, relevant candidates in anticipation of future hiring needs. They continued to strengthen their military talent pipeline and veteran outreach efforts. REC collaborated with employees from the Cornell Veteran Colleague Network Group, and Cornell Police to enhance its military recruitment efforts including attendance at three career fairs held at the Fort Drum Military Transition Center in Watertown, NY. The department also participated in the National Veterans Career Expo and two Hire a Hero Career Fairs, one in NYC and the other in Philadelphia.

In addition, REC connected with local employers that have experienced downsizing. Corning and United Technologies Corporation invited REC to meet with employees that were impacted by layoffs to discuss new career opportunities at Cornell. Although there were no direct hires in FY13, these outreach efforts lay the foundation for a long-term talent pipeline.

REC continues to play an active role in local community outreach efforts by partnering with a number of initiatives such as Sister Friends Celebration, Juneteenth Festival, The Diversity Consortium of Tompkins County, World of Skills Steering Committee and Job Fair, and the Disability Service Providers of the Cornell Recruitment Partnership. The unit also participated in ten local and national career events and 24 general employment sessions through Tompkins Workforce New York and Cortland Works Career Center.

Recruitment Processes
In an effort to change the recruitment culture and increase effectiveness, REC worked on a refined process, which engages hiring managers early in the recruitment effort in order to create a more active and effective process. REC now consults with local HR partners and hiring managers to discuss the details of a position before it is posted, develops an outreach strategy, vets referred applicants, and writes a profile of each candidate referred by the department. REC is also consulting with the local HR partners and hiring managers to improve the accuracy of ensure posted job descriptions focusing them on the current needs of the role, and formatting them to attract top talent.

New Hire Data
The chart on page 5 reflects the applicants received in FY13. 1 Compared to fiscal last year, the university saw a decrease in job postings, and applicants across banded (-5.53%) and union (-14.77%) jobs with the exception of veteran/military applicants, which were up by 19.8%. This increase is attributed to REC’s military outreach efforts, and an additional diversity recruiter.

Only 7.37% of underrepresented banded applicants advanced to the interview stage, and only 2.23% were actually hired, compared to 13.04% and 4.16% of majority applicants respectively. Underrepresented union applicants fared better than majority union applicants. In fact, 23.62% of underrepresented union applicants advanced it to the interview stage and 6.60% were hired. This is compared to 22.89% and 4.45% of majority applicants respectively.

1 FY13 summary data based on applications received through June 2013. The interview and hire data may increase if job the applicant is selected for an interview or hired after the close of FY13.
2 Decrease/increase percentages are being compared to FY12 data
3 Banded is defined as non-academic, non-union staff grades A - I
Workplace Awards
Cornell applies for workplace awards to benchmark the university against the best employers in the nation and help with recruit top talent. In FY13, Cornell won the following awards:

- Working Mother Media’s 100 Best Employers for Working Mothers
- AARP’s Best Employers for Workers Over 50
- Families and Work Institute 2013 Work Life Legacy Military Award (Cornell is the first institution of higher education to be recognized)

Retention Programs
Addressing the diverse career/life needs of university employees continues to be a key retention strategy. Select initiatives which continued through FY13 include Colleague Network Groups, administration of the Cornell Childcare Center, and the development of a multigenerational workforce strategy.

The Colleague Network Groups (CNGs) are university sponsored employee resources groups for traditionally underrepresented populations and allies of those groups. The CNGs provide a professional support system that extends beyond the workplace. Each CNG advocates for a specific demographic within the Cornell community including Men of Color, Women of Color, Veterans, Disabled, LGBT, and Young Professionals.

The CNGs each held monthly meetings, meet and greets, and many held community outreach events called Sharing Our World. The Sharing Our World events help spread the mission of the CNGs and ignite conversations across campus and in the community.

The Cornell Child Care Center (CCCC) experienced full enrollment3 this year. Parent satisfaction with the CCCC remains high. In November of 2012, parents participated in an online satisfaction survey. In response to essential questions about the center, 99% of parents were satisfied/extremely satisfied with teacher qualifications; approachability of teachers; CCCC curriculum; and the overall learning environment.

In January, 2013, the Department of Inclusion and Workforce Diversity (DIWD) presented an update addressing progress made to resolve the concerns outlined in the 2010 report of the Faculty Senate Ad Hoc Committee Appointed to Recommend a Course of Action for the Cornell Child Care Center, to the President’s Family Life Committee. Based on the report and presentation, the Committee made the unanimous decision to recommend the university renew its contract with Bright Horizons Family Solutions. A new five year contract was signed in March 2013.

3 Because the CCCC offers the greatest flexibility of any child care center in the community, and 43% of currently enrolled families have opted to customize their children’s enrollment (selecting any combination of days/week, full day or half day), the Center has an actual utilization rate of less than 100%.

<table>
<thead>
<tr>
<th>2012 – 2013 (Banded Staff)</th>
<th>Applicants</th>
<th>% of Total Pool</th>
<th>Interviews</th>
<th>% Interviewed</th>
<th>Hires***</th>
<th>% Hires</th>
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<tr>
<td>Total</td>
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<td>1,499</td>
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<td>4.16%</td>
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<td>7.37%</td>
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<td>2.23%</td>
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<th>Applicants</th>
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<th>Interviews</th>
<th>% Interviewed</th>
<th>Hires***</th>
<th>% Hires</th>
</tr>
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<td>22.77%</td>
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<td>4.95%</td>
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<tr>
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<td>22.89%</td>
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<td>4.45%</td>
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<tr>
<td>Underrepresented**</td>
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<td>111</td>
<td>23.62%</td>
<td>31</td>
<td>6.60%</td>
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<td>36</td>
<td>24.16%</td>
<td>4</td>
<td>2.68%</td>
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</tbody>
</table>

*All applicants who have identified as female
**All applicants who have identified as White (not of Hispanic origin) Male or Female
***All applicants regardless of gender who have identified as American Indian or Alaska Native, Asian, Native Hawaiian or Other Pacific Islander, Black or African American, Hispanic, or Bi- or Multiracial
****All applicants who served in the United States active military, naval, or air service, and who was discharged or released therefrom under conditions other than dishonorable.

Note that this data does not reflect FY13 applicants that are still moving through the interview process and may become potential hires. Data was pulled on 7/1/13 and does not include offers accepted past 7/1/13.
DIWD created **multigenerational workforce strategy**, which included revising the Encore retiree engagement program. Encore Cornell, which provides retirees with year with the launch of additional programming, entitled *Pathways to Your Encore*. Designed for mid-an array of opportunities to explore, connect, learn, and remain engaged with Cornell, was expanded this career and pre-retirement Cornell employees, *Pathways to Your Encore* provides information and resources to maximize the engagement of the fast growing “slightly older” component of our multi-generational workforce. Workshops and outreach to the retiree community will take place in FY14.

**Deliver training that addresses the management culture at Cornell and centers around civility, respect and moral leadership**

Organizational Effectiveness (OE) regularly reviews all of its leadership and management training and, when needed, redesigns them to emphasize the responsibilities leaders have in creating a culture consistent with Cornell’s ideals.

In FY13, all facilitators delivering leadership and management training, with the exception of guest presenters, developed methods to achieve training that delivers the values of civility and respect, and the expectation of moral leadership. Each of the four primary leadership programs were changed to emphasize these values.

The chart above reflects the number of faculty and staff who attended one of the four primary leadership programs in FY13 compared to the last four fiscal years.

**Respect at Cornell University: Harassment and Discrimination Training**

Workforce Policy & Labor Relations (WPLR) is also in its second year of offering Respect at Cornell. This training is designed to educate faculty and staff on their legal obligation to report harassment and discrimination cases, while balancing reporting requirements. The goal is to connect with individuals who have experienced distress with support services on campus. In FY13, many colleges and units adopted this as part of their Toward New Destinations goals and many leadership teams participated in additional live sessions to discuss these issues in more depth. At the end of the fiscal year, 67% (6,032) of all active staff have taken the training putting WPLR closer to its goal of 75%.

**Develop a succession strategy in key Cornell populations and institutionalize practices**

Cornell must address the impact of its aging staff population alongside its faculty renewal efforts. Currently, 59% of Cornell staff are eligible to retire within the next ten years and 29% are eligible within three years. See on page 7.

Succession planning will help identify and develop the talented staff to fill future opportunities.
In FY13, Organizational Effectiveness focused on building plans for the administrative units and in particular, key areas of executive administration and senior finance positions. Of 13 administrative units, all have begun succession planning, nine completed replacement planning, and three completed talent planning.

Progress has been made toward these succession plan practices in the administrative units. The university has gone from an initial 10:1 ratio of positions versus “ready now” bench strength, to a ratio of 6:1. This is the result of tripling the number of units currently engaged in succession planning in FY13.

Organizational Effectiveness delivered two reports to the Board of Trustees in December 2012, the Executive Succession Plan (for the Board Executive Committee) and the Financial Succession Plan (the Trustee Audit Committee). These plans outlined organizational charts that helped each group identify gaps in their succession plans and reveal the importance of having plans to develop staff and have talent pipelines ready for easier transitions.

As we continue to bolster succession planning efforts and identify high potentials/potential successors for critical positions, Cornell will be in a better position as retirements continue over the next ten years.

**Design and provide human resources programs to Cornell NYC Tech as needed**

With the launch of its “beta” class in FY13, Cornell NYC Tech ramped up its workforce efforts. The new campus follows university policies and procedures that drive institutional consistency while meeting the unique needs of the campus. In FY13, many functional areas in Human Resources and Safety Services partnered with the College of Engineering, Computing and Information Science and its human resources team to provide workplace best practices including hiring, onboarding, benefits, compensation, and safety.

Human Resources helped Cornell NYC Tech develop attractive compensation/benefits packages and provided the recruitment tools necessary to hire the best and brightest faculty and staff from around the world and remain competitive in the New York City (NYC) job market. The Recruitment and Employment Center (REC) developed a customized section of Taleo, recruitment software, to track Cornell Tech applicant data for both faculty and staff positions. Benefit Services and Compensation worked with consultant, Towers Watson, to develop a strategy to offset housing expenses, parking, commuter benefits and daycare - considered “must-have” benefits for top talent. Active and aggressive recruitment will continue to be addressed in FY14 and beyond. But now that Workday is in place, the university offers pre-tax commuter benefits (parking and mass transit) anywhere in the
nation, including NYC. This benefit has been well received at Cornell NYC Tech.

What’s more, Human Resources led Cornell NYC Tech’s participation in HireNYC, a program designed to create employment opportunities for low-income persons and enable them to participate in the City’s economic growth. In FY13, HR worked with Cornell NYC Tech to develop its HireNYC plan outlining its goals to hire, retain, develop and train persons who have an income that is below the poverty level. HR has already developed relationships with local workforce agencies including NYC Small business Services and the New York City Economic Development Corporation to creating hiring opportunities. Mary George Opperman, the university’s vice president of Human Resources and Safety Services is serving as the workforce development liaison during the planning and first year of operation.

REC also consulted with administrative staff at Cornell NYC Tech on onboarding practices to ensure the required processes are in place and regulations are met. When faculty and staff were available to travel to Ithaca close to their start date, their onboarding took place at the Onboarding Center at East Hill Plaza. Benefit Services also consulted with new hires on an as needed basis during the onboarding process.

The division also provided support on approval of the campus plans and Cornell NYC Tech’s Clery report. The Department of Inclusion and Workforce Diversity (DIWD) provided leadership support on a critical step toward breaking ground on the new campus. DIWD helped with the final review process which led to the City Council Land Use Committee approving the campus plans for Cornell NYC Tech. More information about how CUPD supported Cornell NYC Tech’s Clery reporting is on pages 20-21.

**University Onboarding Center**

The Onboarding Center, a one-stop service for new hires, creates a positive first impression with the goal of reducing early turnover. In FY13, the Center began serving postdocs, visiting, courtesy and adjunct academics. All regular academic and non-academic faculty and staff, including paid and unpaid employees, are now served.

More than 670 new hires have been welcomed in the Onboarding Center during fiscal year 2013.

According to a survey of those attending an appointment in the Onboarding Center, 100% felt that their onboarding appointment was positive; 96% of new hires felt welcomed in their new jobs and 80% of them had activated their net ID prior to their start date. Those who have been through the onboarding program can begin contributing to university more quickly.

**Faculty Excellence**

**Develop clear strategies and tools to support faculty recruitment**

**Applicant management system**

In an effort to accurately report on academic searches and capture data that impacts future faculty recruitment efforts, a pilot program with Interfolio continued into FY13. Interfolio collects applicant information electronically and helps decrease time-consuming, manual processes. Interfolio coupled with Academic Jobs Online and Taleo moves the university toward a paperless system for tracking applicants. Human resources continues to work with campus partners to introduce the online search management function to hiring authorities as opportunities arise.

**Faculty recruitment tools**

Human Resources continued to refine its programs designed to support faculty recruitment and retention (and occasionally executive staff) in FY13 including the Relocation, Dual Career, Engagement and Integration, and Faculty Dependent Care Travel Fund.

As Cornell attracts talent from around the world, relocation services become an increasingly important part of the recruitment process. This partnership with Cornell and Coldwell Banker that spans the last two fiscal years continues to gain momentum.
The Relocation Program provides the opportunity to meet with a Coldwell Banker representative to find rentals, real estate, temporary housing, movers, and storage of household goods. The decision to provide these services is made at the college/unit level. The program served 121 new hires in FY13. Increased campus awareness about the program and improved customer service from Coldwell Banker led to increased success of this program during the fiscal year.

The Dual Career Program (DCP) continues to be an important recruitment tool offering job search assistance and information to eligible faculty and staff. In FY13, the program served 125 candidates (up from 107 in FY12), primarily (91%) spouses/partners of faculty. More than half of those participating in DCP have completed the program this fiscal year. Of those landing in new positions, a slight majority were hired by employers external to Cornell. The program also assisted in addressing academic retention issues by special request from provost, vice provosts, deans or human resources directors. Retention requests resulted in 20% of new DCP candidates. The DCP continues to explore ways Cornell can assist spouses and partners in overcoming barriers to finding regional employment. For foreign national spouses/partners, visa sponsorship represents a significant challenge, particularly for those seeking employment outside of Cornell.

In FY13, the DCP gained approval for departments to provide support for external visa sponsorship. This additional support expands the potential for opportunities for foreign national spouses/partners for whom employment within Cornell is not feasible, and further enhances the university’s ability to attract diverse faculty and staff from around the world.

Personalized engagement services are a critical part of Cornell’s recruitment and faculty renewal efforts. The Engagement Program facilitates a smooth transition for new executives, full professors, department chairs and their families by creating a welcoming and inclusive environment on campus and in the Ithaca community.

In addition to connecting with new hires and their families on a regular basis for the first six months of employment, the Engagement Program shares networking and resource connections including affinity and professional groups, volunteer opportunities, cultural transition assistance and any special family needs. The program identifies and resolves potential concerns of the new hire (and family) transitioning to Cornell. Welcome events are also arranged for program participants to meet each other. And onboarding teams are assembled to exclusively help new executives understand the university and its complexities while providing guidance around Cornell’s culture, climate, processes and the transition to Ithaca. In FY13, 9 teams were either operating or forming with more than 40 individuals participating this fiscal year.

Quotes from program participants:

- “The experience has been a terrific one and I am thrilled to have the contacts and the networking opportunities that I wouldn’t have gained any other way if this program wasn’t in place.”
- “I’m so fortunate to be connected with you – I appreciate all that you do to help me, and other newbies, get plugged into this community.”
The Office of Faculty Development and Diversity collaborates with the Department of Inclusion and Workforce Diversity to manage the Faculty Dependent Care Travel Fund (established in FY12). The fund supports faculty travel for career advancement when dependent care costs would typically limit them from participating in these types of opportunities. This financial support assists tenure-track and tenured faculty with qualified, short-term, dependent-care expenses. The program received 52 applications and almost $32,000 in funding in FY13. The average grant award is more than $600.

**Employment Branding**

As we continue to heighten awareness around Cornell as a great place to work, the Recruitment and Employment Center (REC) proactively explored ways to communicate the employment brand to potential candidates. In FY13, REC partnered with University Communications (UCOMM) to push workplace messaging and content through a number of key recruitment marketing channels. REC also took advantage of its relationship with Glassdoor, an online career community that offers job seekers an “insider” look at organizations by sharing content such as interview questions, salaries, and company reviews that are provided anonymously. REC manages an employer profile page to market current job openings.

Cornell is among the top 1% of employers currently viewed on Glassdoor, President Skorton maintained a CEO approval rating more than 91%, and the university has the highest overall company rating (4.0) among peer institutions including Columbia, University of Rochester, and NYU.

These metrics demonstrate the strength of the brand and growing presence as an employer of choice.

REC also proactively communicated with potential hires through the use of Constant Contact's email marketing platform. The group pushed more than 35 job opportunities and several newsletters to more than 3,500 unique subscribers resulting in 5 hires.

Other initiatives include the further refinement of workplace messaging and a new career website which highlights employee benefits, Cornell’s military support and life in Ithaca, NY.

**Address the HR needs of academics**

The human resources community created a proposal to develop an Academic Services Council, a group of leaders assigned by deans from across the university to address issues in academic policy. The Senior Vice Provost for Academic Affairs and the Vice President of Human Resources and Safety Services agreed to move the council forward. Meetings are scheduled to begin at the start of the academic semester.

**Staff Excellence**

**Conduct job family reviews for Student Services, Athletics, Human Resources and anchor roles in administration**

In consideration of administrative streamlining restructuring and overall staff reductions, Compensation led several job family review teams made up of HR generalists and subject matter experts for families that span colleges and units. These teams updated descriptions and related qualifications to more accurately reflect today’s needs and realities.

Now that each job family for Student Services, Athletics along with health and technical jobs is updated with clearer language and titles, human resources generalists and managers are able to update position descriptions that better reflect the work currently being done. The updated titles also allow for more accurate market data comparisons for compensation.

**Develop a university-wide response to the four common themes identified in the employee survey:**
- career growth and movement;
- supervisor feedback;
- workload analysis and balance;
- and recognition/award
Cornell conducted an Employee Survey in November 2011 to understand staff engagement with the help of the Employee Assembly and Institutional Research and Planning. Once senior leadership analyzed the data, four university-wide issues were identified: workload balance; career development and growth; supervisory feedback; and recognition of excellent work.

In FY12, a group of human resources leaders and members of the Employee Assembly established a team (the Employee Survey Team) to address these four areas. This fiscal year, the Employee Survey Team engaged volunteers comprised of staff in different positions and colleges/units across the university to form seven staff subcommittees. These subcommittees reviewed and assessed the feedback related to the four university issues and developed recommendations to address the concerns. These recommendations were vetted by the Employee Survey Team, the vice president of Human Resources and Safety Services, and through feedback from five Employee Assembly-led forums.

The subcommittees developed proposals for each of the following areas (see appendix F) and submitted them to senior leadership for review:

1. Workload Balance
   1.a. Personal Development
   1.b. Energy Project
   1.c. Position Evaluation and Analysis
   1.d. Alignment and Change Tools
2. Career Development and Growth
3. Supervisory Feedback
4. Recognition of Excellent Work

In addition to proposals, members of the Employee Survey Team, their colleagues and the subcommittees also made progress toward initiatives that address each area. Some areas are further along than others, but all have proposals for work to be completed in FY14.

Workload Balance
Proposals on Personal Development (1a) and The Energy Project (1b) have been submitted and are awaiting review. And proposals on (1c) and (1d) have also been developed, but are at least partially being addressed by the efforts described below.

One common dynamic resulting from the university’s staff downsizing is that some staff feel their job description doesn’t match the work in which they currently perform. Staff positions need to be assessed to determine if the classification needs to be changed or if the amount of work is unreasonable. The Employee Survey subcommittee recommended the implementation of a time-sensitive staff “Position Evaluation” request process to address position description, workload manageability, and position classification. In addition, efforts have been made to highlight an existing process for staff, whose jobs have significantly changed, to have a position reviewed in a timely manner.

Organizational Effectiveness expanded its alignment and change tools with a process improvement method to address workload balance directly. A facilitated LEAN process improvement approach was rolled out to campus in January 2013. The process dramatically reduced the steps and times-to-completion, often by more than 75 percent. So far 12 process improvements for units in College of Agriculture and Life Science, College of Human Engineering, College of Veterinary Medicine, the Statler Hotel, Alumni Affairs & Development, Department of Financial Affairs and Human Resources & Safety Services have been run. There are more than 30 requests lined up or in progress, mostly from college and business officers who already experienced the impact process improvement can make and want to apply it to more places.

Career Development and Growth
Organizational Effectiveness added several new tools in an effort to increase career growth and development.

- **OptimalResume**, an online career counseling service was reconfigured and opened to staff in October of 2012.
- **WisdomShare**, an online tool used to administer, facilitate and educate mentors and mentees, is being piloted with two mentoring groups and will open campus wide in FY14.
- **Experiential Learning Opportunities (ELOs)** or rotational opportunities have been reinstituted as a pilot for facility workers, and initiated a program in concert with CIT for IT employees.
Supervisory Feedback
In FY13, this goal was put on hold until the Employee Survey Staff committees could review and recommend specific strategies, which are now included in the submitted proposal.

Recognition of Excellent Work
The ultimate goal of the Recognition of Excellent Work subcommittee is to create a culture of gratitude throughout the Cornell community. In FY13, the committee implemented several programs developed to recognize employees for their work and give them the opportunity to recognize each other.

In FY13, the committee focused on four components: low/no cost recognition, peer-to-peer recognition, a new awards program and Cornell Recognition Event Days (RED). In an effort to tie their efforts together, the suite of programs is now housed under one brand, the High Five Employee Recognition program. To promote the new brand, the committee conducted outreach to campus at three events in 2012, Campus Store Week, BeneFair, and the Vet BeneFair. The following captures the activities surrounding each of the four components.

1. Managers/supervisors across campus now have access to a list of low cost or no cost ideas to recognize their employees. The Division of Financial Affairs helped negotiate a list of low cost ideas and includes discounts for Cornell Catering, Ithaca Bakery and personalized mugs among others.

2. The High Five program worked with Employee Assembly (EA) to enhance their Kudos program, a way for employees to recognize each other, peer to peer, for going above and beyond.

3. A new series of awards were created this year to give the entire Cornell community a chance to be recognized and the opportunity to recognize one another. The recognition committee selected five employees to receive one of the following awards from more than 60 nominations: the Individual Excellence Award, Management Excellence Award and President’s Award for Excellence. In May 2013, the first annual High Five Recognition Event Luncheon was held at Newman Arena with 110 guests, including President Skorton, VP Mary Opperman, Provost Fuch, Deans, VPs, award winners and nominees.

4. Cornell Recognition Event Days (RED) are designated to thank the campus community and spark a culture of recognition. The committee organized the first RED event in January 2013 at 15 campus locations including Geneva. Team members were positioned across the university to thank staff, welcome them in the new year and to distribute a small thank you token.
Human Resources continued to sponsor ongoing recognition programs in FY13 including the 58th Annual Service Awards, the fall and winter Employee Celebrations and the Staff Grad Reception. The Service Awards recognized 169 staff members with 25 or more years of service. The fall and winter Employee Celebrations had a record breaking 5,300 combined attendance. The Staff Grad Reception recognized 28 Cornell staff members who earned their degrees.

Respond to the needs of HR & Safety Services staff as identified in the employee survey

Mary George Opperman, vice president of Human Resources & Safety Services analyzed the division’s results and comments from the survey and shared it with her senior leadership. She then led three open forms for the division at varying times and locations across the division to solicit feedback. This feedback coupled with the survey results varied widely by each of the division’s major groups. In an effort to meet the unique needs of Human Resources, Environmental Health & Safety and Cornell University Police, each group is now working on addressing issues in more targeted ways. They are in various stages of response to the results of the surveys and feedback gathered from the open forums.

Human Resources
In February 2013, vice president Opperman created the HR Engagement Survey Action Council to further respond to the feedback received in central Human Resources. Members include Cassie Joseph (chair), Deb Billups, Shari Constantino, Nicole McCabe, Barb Pennypacker, Veronica Banks, Donna-Marie Parker and Allan Bishop. Since that time, the Advisory Council has been meeting, reviewing the survey results and considering approaches to delve into the information more deeply. The group will be conducting a root cause analysis of the data with the help of Institutional Research and Planning and meetings will be held to gather additional feedback. Once a thorough understanding of the needs is determined, next steps include conducting focus groups and preparing a planned response.

Environmental Health & Safety (EH&S)
EH&S took a deeper look at categories rated at satisfactory or below including supervisor feedback, employee recognition and upward advancement. Each of these focus areas now has an employee-led committees empowered to initiate and implement action plans. Initiatives coming out of each committee include:

- Using Qualtrix to provide anonymous feedback for each supervisor, including the AVP position
- Implementing a new employee-led appreciation process to acknowledge the hard work of individuals
- Developing a comprehensive position matrix matching still sets to technical positions in an effort to inform employees of the skills needed to make a job advancement

Cornell University Police (CUPD)
CUPD focused on enhancements to its facilities, work areas, and uniforms. The department made a number of improvements to make the workspace in Barton Hall friendlier. Updated areas include the evidence room, communications center (dispatch), and men’s locker room. Temporary storage space has also been leased for property (i.e. recovered bicycles, etc.). Other beautification projects include cleaning, painting and improved directional signage for the entire building.

The department also began wearing new uniforms in 2013. The first significant change in their official attire in 42 years, the new look includes a black uniform shirt with ventilated side panels, which complements the modern multi-pocketed black cargo pants the department switched to in 2010. The new uniform has been well-received by the officers because of its durability and storage capabilities, including storage pockets for essential items, and community response has been overwhelmingly positive.
Excellence in Organizational Stewardship

HUMAN RESOURCES

Continue to modify faculty, staff and retiree health plans to reduce the pressure on costs and properly anticipate clinical services marketplace evolution

Plan Administrator Changes
In January of 2013, Cornell switched from multiple health care administrators to one, Aetna for the endowed health plans offered at the Ithaca and Weill campuses. This allows the university to streamline plan choices and save on administrative costs. The Ithaca campus is projected to save $150,000 annually.

As of January 1, 2013, we no longer offer the HealthNow NY plan to endowed faculty and staff members. Most plan participants joined the Cornell Program for Healthy Living (CPHL), making it the primary health plan offering. Further consolidation is planned by eliminating the 80/20 plan for active employees effective January 1, 2014.

Communications about health plan choices continued into FY13 with 42 meetings at the college/unit level (reaching more than 1,000 employees); online resources from Aetna to help plan participants locate network providers and learn more about care management opportunities; a brochure about plan choices; and targeted open enrollment communications.

The introduction of Workday allowed HR to fold benefits billing into a new flexible spending account contract this year. This advancement let the university switch to a new vendor, PayFlex, to administer flexible spending accounts, health savings accounts COBRA, benefits billing (retirees and active employees on unpaid leaves of absence). And for the first time the university can offer pre-tax commuter benefits anywhere in the nation.

Lower Premiums and Rates
The Preferred University Rx Purchasing Coalition (PURPC), a group of universities that share the purchase of prescription drug coverage, negotiated a new three-year contract with Express Scripts, Inc. to provide outpatient pharmaceuticals at deeply discounted rates. The new contract is projected to save Cornell approximately $5 million over the life of the new contract when compared to the 2012 contract.

What’s more, long Term Disability Plan insurer, CIGNA, agreed to lower premiums for 2013 by 20%, citing the sophistication and effectiveness of Cornell’s return to work staff and procedures. Deeper discounts may not be realistic in the future given the aging workforce, but the efforts to improve return to work metrics for injured or ill workers, occupational or non-occupational, is a primary goal of Medical Leaves Administration.

Clinical Integration
Tompkins County medical providers are taking the first steps toward forming a clinically integrated network of providers leading to an Accountable Care Organization, as newly envisioned by the federal Affordable Care Act. Cornell is participating in this project with substantial funding support and the provision of administrative services with the goal of improving the quality of health care delivery as well as reducing the overall costs in the long term.

Use the newly established Retirement Plan Oversight Committee (RPOC) to fully achieve retirement plan compliance goals in the new regulatory environment.

The Retirement Plan Oversight Committee (RPOC), chaired by the vice president of Human Resources & Safety Service and staffed by Benefit Services, is addressing the new Internal Revenue Code 403(b) retirement plan regulations that went into effect January 1, 2009. RPOC membership includes representation from the Ithaca campus and the Weill Cornell Medical College. Using the services of CAPTRUST, a consulting partner in the field of investment analysis and plan
compliance, RPOC began establishing investment fund screening, selection and monitoring procedures, based on a written investment policy statement. CAPTRUST negotiated for RPOC with plan vendors, TIAA-CREF and Fidelity Investments to reduce administrative fees for money held in the retirement plan accounts of participants in four different retirement plans on both campuses. These fee reductions should result in significant rebates to plan participants after expenses are subtracted in FY14.

Configure and deploy the Workday HCM/payroll application broadly across campus

Configuration and Launch
Cornell is one of the first institutions in higher education to implement Workday, a cloud-based human capital management/payroll application. Human Resources Information Systems (HRIS) helped to lead the configuration and launch in FY13 with the support of the entire university. Workday presents Cornell with the opportunity to provide managers and employees with access to data like never before. With real-time data access, leaders have the opportunity to make better, more transparent business decisions and employees can view and update their personal information instantaneously. The application delivers fully integrated employee and manager self-service for all HR/payroll activities and shares information with other Cornell systems (Taleo, Kuali, and PeopleSoft).

The new application was deployed to all colleges and units for employee and manager self-service in March 2013. All units now complete their own transactions with the exception of the College of Arts and Sciences (CAS). The majority of CAS transactions are still handled by HRIS.

Workday’s functionality will evolve over time. The initial launch included all of the capabilities needed to operate core functions (i.e. HCM, payroll, benefits).

From project inception, HRIS worked to involve stakeholders including senior leaders, HR and finance representatives in the colleges and units, and central HR functions such as benefits and recruitment, in critical decision making, conduct training and complete systems integration. Key university stakeholders were integrated into the decision making process on everything from role development to custom reports, which allowed for increased functionality that meet the needs of the Cornell community.

A group of “training liaisons” made up of 30 of HR representatives met weekly to manage issues, communications and influence decision making at the college/unit level. This group proved to be a valuable resource throughout the entire project and continues to contribute. These same representatives helped shape another critical component of the project, training.

In addition to presentations at team meetings, HRIS offered role-based training sessions to more than 650
unique users. Workday “super-users” participated in a program that included over 22 hours of training over an eight week period.

Two forms of online training tools were built for managers and employees: job aides and video tutorials. There are six employee tutorials on topics ranging from updating personal information to requesting time off and nearly 50 job aids. Managers have access to one manager tutorial on approving time off and four job aides. Most managers’ needs were addressed in face-to-face trainings. All of these are accessible through a new Workday website: workday.cornell.edu and will be kept current as the system continues to evolve.

Another key component to the Workday launch was systems integration. HRIS partnered with Workday’s technical consultants and CIT to develop interconnectivity between the application and dozens of other systems including Kuali Financial System, Kronos, Taleo and PeopleSoft.

Stabilization
HRIS is working post-launch to stabilize the system over the course of a year. The first phase of stabilization addresses primary difficulties and solves urgent needs such as disruptions in the integration between systems; payroll errors and the performance of the system itself (i.e. speed).

The second phase of stabilization is going through the life cycle of HR/payroll events that take place throughout the year. Each time a new event such as the Staff Performance Pay Opportunities (SPPO), benefits, budget or open enrollment takes place, the system and HR processes are reviewed for any difficulties that could not be accounted for in a test environment. Reports, training, and help desk support are revised each time a new event occurs.

Ongoing Support and Future Functionality
HRIS changed its services to support the new HR systems world. There is no longer a Records Administration department. Instead of entering data for colleges/units, HRIS are is a strategic partner primed to roll out new Workday features that support workforce management needs. Additional functionality might include tracking career movement, performance management, and safety incident management.

HRIS is also providing ongoing support to Workday users. A help desk function has been created to facilitate the reporting, tracking, and resolution of issues that arise on campus.

HRIS is proactively partnering with the campus to understand and meet the needs, of campus partners. HR is now poised to deliver new functionality in support of the strategic needs of the university.

Business Process Optimization
In conjunction with the configuration of Workday, the human resource function, in partnership with business leaders, took the opportunity to review and improve policies and procedures. An example of this involved two changes that were made to the Time Away from Work policy for nonacademic staff.

1. Leave banks were simplified by creating two banks of time from four: vacation and “health and personal leave.” The new policy will help employees and their supervisors to better manage paid time off and ensure the health of the employees at home and at work, while allowing for maximum coverage in the workplace.

2. The date staff must use their excess vacation day by or forfeit them changed from June 30 to Oct. 15. This change gives staff the opportunity to use vacation leave during the summer and early fall, reducing the likelihood they will reach their maximum accrual.

Other policies will continue to be reviewed and simplified in FY14.

ENVIRONMENTAL HEALTH & SAFETY

Create and implement a water management strategy

Meeting water, wastewater and storm water management requirements is an important part of environmental compliance at Cornell. The Ithaca
campus uses water to cool many of our buildings and maintains an extensive sanitary sewer system collecting wastewater from buildings across campus, among many other functions. In addition to the Ithaca campus, Cornell’s many off-campus facilities have their own water management challenges. And the way the university manages water at each of its locations is subject to local, state and federal regulations. To avoid possible fines, Environmental Health & Safety (EH&S), reviews these regulations and determines areas where permits are needed. EH&S made progress toward obtaining permits for waste water and lake source cooling in FY13.

State Pollutant Discharge Elimination System (SPDES) is a New York State Department of Environmental Conservation permit program approved by the United States Environmental Protection Agency for the control of wastewater and storm water discharges in accordance with the Clean Water Act. SPDES controls point source discharges to ground waters as well as surface waters. There are several SPDES permits EH&S worked toward obtaining in FY13.

1) **Storm water**: EH&S worked with capital project managers to determine the need for a new SPDES permits for discharges of storm water from construction activities for 6 construction sites during the fiscal year. Projects resulting in the disturbance of an acre or more of soil require coverage under the state permit. The EH&S staff supports projects by determining if the site meets permit requirements and conducts at least weekly inspections to ensure compliance – totaling a few hundred inspections per year. EH&S also reviews several smaller projects each year for local municipal storm water requirements and compliance.

2) **Lake Source Cooling**: Cornell University is required to have a SPDES permit due to the water it discharges into Cayuga Lake as a part of its Lake Source Cooling (LSC) Facility, designed to cool campus buildings by transferring the heat from the campus chilled water system to the lake water through heat exchangers at the facility. The compliance organization within EH&S negotiated and finalized the new operating permit after five years of hard work. The Cayuga Lake Modeling Project came out of the LSC SPDES permitting process. Cornell is required to fund and develop a water quality model of Cayuga Lake as one of several conditions placed on the Lake Source Cooling permit renewal. This project works with the New York State Department of Environmental Conservation to study the sources and fate of phosphorus in Cayuga Lake.

3) **Concentrated Animal Feeding Operation (CAFO)**: Cornell operates various agricultural facilities, across the state of New York, including two dairy facilities - the Teaching Dairy Barn on the Ithaca Campus and the Harford Teaching and Research Center in Harford, NY. Under the State’s definition these two operations are also known as Concentrated Animal Feeding Operations (CAFO). Depending on the number of animals housed, some CAFOs are required to have a SPDES permits for each operation. This fiscal year EH&S worked to obtain a permit extension for the expansion of an Animal Science Department facility in Hartford, New York. The department also determined there was no need for an additional SPDES permit for the Teaching Dairy Barn as it falls below the permitting threshold.

**Sanitary Sewer Compliance**
EH&S also worked extensively with the Ithaca Area Wastewater Treatment Facility (IAWWTF) to establish a formal administrative process, via a wastewater discharge permit, to manage flows into the sanitary sewer from CU campus that are ultimately treated by the IAWWTF. This process is intended to conform to local and Federal requirements. The permit is in its final review by the wastewater treatment facility and slated for approval in FY14. No significant financial impact to the university is anticipated from this permit.

**Develop a campus-wide chemical inventory system to ensure compliance with federal, state and local regulations**

The goal of Environmental Health & Safety is for those who use or store chemicals across the university to maintain a central inventory for compliance with various safety and environmental regulations, and to
provide critical information to responders during an emergency. To assist in this process, EH&S worked with the College of Arts and Life Sciences (CALS) to pilot a computer inventory tracking system in several of its buildings. Users of the tracking system have the ability to update chemical inventory information, prepare inventory reports, and obtain chemical safety information. Once the pilot is complete, implementation in other colleges will follow.

**Review and update health and safety policy 2.4**

The Health and Safety Policy was reviewed, shortened and made easier to understand during FY13. The updates were vetted within EH&S. The policy was sent to stakeholders, (Office of Research Integrity and Assurance, representatives from the Research & College Safety Group, and the College of Agriculture and Life Sciences) for additional review and feedback. This policy is being shared with Weill Cornell Medical Center. The policy will be added to the agenda for PAG for fall 2013.

**Emergency Management**

Emergency responses continue to rise on the Ithaca campus. There were 2,734 EH&S responses in FY13, up from 2,460 in FY12. This increase underscores the need for emergency management preparedness. A U.S. Department of Education grant, spread out over the past 3 years, helped Environmental Health and Safety fund much of the university’s emergency management program development, training, and new continuity software.

The university’s emergency management program, put into place in FY11, follows U.S. Department of Higher Education’s Action Guide for Emergency Management at Institutions of Higher Education and is based on a framework of four key phases: prevention-mitigation, preparedness, response and recovery. It also focuses on how 18 campus emergency support functions (i.e. facilities, communications, and animal care) will respond to emergencies using a generic all-hazards approach versus using more narrowly focused scenario-based plans.

In FY13, EH&S conducted FEMA’s G367 - Multi-Hazard Emergency Planning for Campus Executives training to provide leadership with an understanding of their role in protecting lives, property and operations at Cornell. Exercises are being conducted in accordance with U.S. Department of Homeland Security’s Exercise and Evaluation Program covering mass casualties, infectious diseases, and crisis communications.

EH&S also focused on transparency by making the emergency management program available to the campus through a new emergency management web portal, emergency.cornell.edu. Information about emergency resources and the CornellALERT Emergency Notification are also available at this site. CornellALERT Emergency Notification is now using a new messaging system that simplifies the notification process by sending communications through voicemail, SMS, email, Twitter, Facebook and the web with the push of a button. Further plans to educate the campus about these available resources will take place in FY14.
Emergency management personnel worked with University Communications staff to develop the CornellALERT branding and icons to improve campus awareness and recognition of University emergency notification messages. Future emergency messages will be tagged with the “CornellALERT” text or the CornellALERT graphic.

Student EMS Recognitions

The National Collegiate Emergency Medical Services Foundation (NCEMSF) recognized Dan Maas, emergency manager for Environmental Health & Safety, as the collegial EMS Adviser of the Year. Maas helped integrate CUEMS into the university’s employee-staffed emergency services operations. He received the award at the NCEMSF annual conference in Washington D.C. At the same time, the foundation renewed a three-year certification of the Cornell University Emergency Medical Service student organization in the “Striving for Excellence” category.

Research Safety

Biological Safety

In FY13 EH&S collaborated with Facilities Services, CALS Facilities and the Dean’s office to implement the Select Agent program in the Department of Plant Pathology. EH&S completed security and incidence response plans, and initiated security risk assessments (background checks and fingerprints) with the United States Department of Agriculture/Animal and Plant Health Inspection Service (USDA/APHIS) and the Department of Justice. The department also conducted trainings with the research group, emergency responders, IT personnel, and the CUPD. An inspection that ultimately resulted in registration of Cornell’s select agent program was also coordinated with USDA/APHIS. EH&S continues to conduct trainings and oversee security risk assessments for new personnel, handle correspondence with federal entities and amend Cornell’s registration to include new personnel and spaces, and conduct inspections of the laboratory and program.

The three BSL-3 facilities, which support a group within the College of Veterinary Medicine continue to be fully operational and occupied by authorized users. EH&S continues to train users and collaborate with the department to maintain its BSL-3 standing.

Radiation Safety

In 2012, the Radiation Safety Group worked with National Nuclear Security Administration (NNSA) and a security vendor to enhance and protect vulnerable nuclear and radiological material on Cornell’s campus. Global Threat Reduction Initiative (GTRI) within the NNSA completely funded the enhancements in the amount of $700,000.

As part of its mission, GTRI’s Domestic Protect Program, works with U.S. partner sites like hospitals, universities and industry to provide voluntary security enhancements to prevent terrorists from acquiring in-use radiological materials. Updated security enhancements made a Cornell’s radiological sites include increased surveillance both inside and outside areas where the radiological device is located, radiation monitors for CUPD vehicles and a silent panic alarm tied to the CUPD command post.

CORNELL UNIVERSITY POLICE DEPARTMENT

Finish the Spillman Records Management System and Computer Aided Dispatch software (CAD/RMS) implementation

Cornell University Police Department (CUPD) purchased records management software (RMS)/Computer-Assisted Dispatch (CAD) software, which has been in several stages of implementation over the past several years.

Once the next phase of development progresses and New York State confirms the links to the Department of Motor Vehicles, which are currently in a testing phase, CUPD will create the appropriate forms for state
reporting. This last form is nearing the beta stage of development and the department hopes to have it in use by December 2013.

Tompkins County also began implementation of the same software. This will let us automatically link the service calls that come into Cornell or Tompkins 911 centers, reducing response times for calls that must be transferred from one to the other. CUPD is working jointly with the other county agencies to standardize procedures, and this will increase the accuracy of the data it must report.

**Unify campus efforts to ensure compliance with federal, state and local regulations**

The Cornell University Police worked in conjunction with senior leadership to develop a security philosophy and business process for evaluating the physical security asset criticality and vulnerabilities for the university. CUPD completed the report in 2012.

A newly formed Building Security Committee came out of this effort. Their charge is to develop standards and guidelines for integrating physical security into large building projects.

**Develop a Clery Plan for Cornell NYC Tech**

Cornell University consistently documents efforts to comply with the Clery Act’s requirements across all of its owned and controlled holdings. With an institution as large and complex as Cornell with multiple locations, international programs, degree partnerships and students spread throughout the world, it is no simple task. CUPD works to continually address new guideline requirements and to resolve potential compliance issues. The addition of the Cornell NYC Tech will be no exception.

Now that Cornell NYC Tech has officially accepted their first year of students, Clery compliance must be in place. CUPD is working closely with Cornell NYC Tech administration and Counsel’s Office to develop an implementation protocol for the separate campus’s Clery requirements. The first Cornell NYC Tech Annual Security report is due October 2014. This means that statistical crime data for 2013 must be captured. To help move the effort forward, the department provided Cornell NYC Tech administrators guidance on required components, a timeline for the various stages of implementation and triggers for program expansions.

CUPD remains ready to support Cornell NYC Tech throughout its next phase of growth. Conversations around physical security development have already begun. Efforts to maintain compliance with both Clery and Title IX strengthen the collaboration with the Cornell NYC Tech. CUPD’s partnership with Facilities has led to a broader understanding of the gains from appropriate security planning in the early stages of construction and throughout the project. The university should experience cost savings from a reduction in retro-fitting and loss prevention efforts.

**Reaccreditation**

The International Association of Campus Law Enforcement Administrators (IACLEA) accredited the Cornell University Police Department for the second
time in a row for demonstrating a commitment to the highest professional practices in campus public safety management, administration, operations, and support services.

Cornell provided proof of meeting 239 standards issued by the IACLEA to receive accreditation. The university first received this accreditation in 2010 and will be reevaluated against these standards next in May 2017.

The reviewing accreditation team had high accolades for the two-person Crime Prevention Unit. In FY13 alone, the Cornell Police provided more than 71 crime prevention programs from personal security to identify theft, alcohol awareness, winter driving techniques, reaching more than 14,000 students, faculty and staff.

A call-in survey conducted in the spring, held April 22, garnered a high response rate. Respondents from the university described the department as being professional, cooperative, proactive and compassionate; emphasizing that CUPD is viewed as being open, transparent and trustworthy.

National Law Enforcement Challenge

Innovative traffic safety programs at Cornell University Police earned high honors at the annual International Association of Chiefs of Police conference in 2012. The association awarded Cornell second place in the University Police Category of the National Law Enforcement Challenge among 15 universities. Cornell University Police were nominated for the national award after winning first place in their division at the New York State Law Enforcement Challenge. The National Law Enforcement Challenge recognizes and awards the nation’s best overall traffic safety programs for enforcing laws and educating the public about occupant protection, impaired driving and speeding.

This year the CUPD highlighted work done to enhance the safety of Cornell community members: the Pedestrian, Bike and Skateboard (PBS) Education and Enforcement program, and many efforts to increase alcohol awareness.

Additions to the K-9 Unit

CUPD added two bomb-sniffing canines to its K-9 unit to protect the university against possible threats. Rogue, a black Labrador retriever handled by Officer Kyle Hollenbeck, was adopted from the K-9’s Representing Alternative Modern Educational Resources — a program through which the Sheriff’s Department, schools, community agencies and dogs work to support students and family’s needs. Chase, a yellow Labrador retriever handled by Officer Justin Haines, was adopted from a home in Freeville. Both dogs joined CUPD on March 5, 2013. Rogue, Chase and their handlers search university venues for explosives prior to high-profile events. They are also used to assess suspicious packages on Cornell’s campus and in the neighboring counties upon request of another police agency.

Training and equipment costs for Rogue’s team were funded by a one-time $47,000 grant from the New York State Department of Homeland Security. The grant is part of a regional partnership with several of the surrounding counties including Tompkins, Broome, Schuyler and Chemung counties. The partnership allows the K9 team to deployed in those counties in the case of a bomb or other explosive detection related threats.

Additional Highlights

Sexual Assault/Bias Incidents

Human Resources and Safety Services contributed to the university’s response to a series of sexual assaults and bias incidents in the Fall of 2012. These incidents touched the division in a number of ways. The Cornell University Police (CUPD) played an instrumental role in the investigations. Environmental Health and Safety (EH&S) coordinated the emergency management teams that provided recommendations for the university’s response including community outreach and programming. The Department of Inclusion and Workforce Diversity (DIWD), and Workforce Policy and Labor Relations (WPLR) also helped with outreach.
During the fall semester, several reports of sexual assault by a stranger were received by the CUPD in rapid succession. The CUPD quickly formed an investigative taskforce focused on solving the crimes and apprehending the perpetrators. At the same time, Environmental Health & Safety initiated the Incident Executive Leadership Team and Incident Management Team structure to coordinate the University’s response.

The taskforce quickly unraveled one report, and CUPD let the community know it had no merit. Two other reported assaults remain under investigation, though the taskforce was officially disassembled after the end of the fall semester. A suspect has been identified in both cases, and CUPD is working closely with the District Attorney’s Office to bring them to a close.

During the course of the investigations, CUPD collaborated with University Communications to send weekly safety messages to the community. These messages updated faculty, staff and students on the progress of the investigation, provided pertinent tips on keeping safe across campus, and delivered other relevant safety messaging and resources. The safety messages have been well received by the community. DIWD hosted two town hall meetings to inform the Cornell community of the avenues available to address bias and to recognize bias.

The incident management teams used information garnered in the town hall meetings and input from key University stakeholders to form its recommendations for how the university should respond to ensure a safe and caring community. The vice president of Human Resources and Safety Services also attended closed door student meetings along with the president of the university to assuage student concerns. Recommendations were delivered to the president around the campus environment, education needs, as well as university services. See information about the sexual harassment policy 6.4 on page 23.

These incidents resulted in several ongoing communications efforts. The weekly message from CUPD continues as a way to proactively send safety messages to the community in a timely manner. These incidents also sparked the development of the Sexual Harassment and Assault Response and Education (SHARE) website. SHARE.cornell.edu is an informational resources for all members of the Cornell community regarding issues related to sexual violence and other sexual misconduct. The site provides a point of connection to many services that offer support for victims/survivors. It also facilitates reporting, promotes safety, and highlights prevention, compliance and advocacy issues.

University-Wide Diversity Initiatives

Human Resources and Safety Services worked with groups across campus on the following shared initiatives that contribute providing an environment where students, faculty, and staff can learn, work and live as an inclusive and diverse community.

Toward New Destinations

In 2011, the University Diversity Council developed an institutional diversity planning initiative, Toward New Destinations. The initiative lays the foundation for the university to remain positioned on the leading edge of education and employment through the enhancement of a culture that provides for the full participation of members of the Cornell community.

Each college/unit selected five annual initiatives that best match their particular contexts, goals, and strategic plans from the Toward New Destinations menu. And throughout the year the University Diversity Council provided guidance to help colleges/units successfully measure and achieve their goals.

Although colleges and administrative units developed diversity initiatives as part of Toward New Destinations, they still had responsibility for complying with affirmative action goals for hiring women and racial/ethnic minorities. To assist colleges and administrative units with better understanding their demographic profile, the Department of Inclusion and Workforce Diversity (DIWD) developed a workforce demographic profile for each college and administrative unit. Each profile broke the affirmative action-required job group analysis into college/unit level datasets. Then DIWD met with every college/unit HR team to share the
Destinations goals. The FY13 outcomes report and FY14 objectives for Human Resources and Safety Services are included in appendix D and E respectively.

**Title IX Achievements: Revision of Policy 6.4**

On April 4, 2011, the Department of Education Office of Civil Rights developed the “Dear Colleague Letter” to provide guidance to universities on how to implement effective anti-sexual assault/violence efforts. To satisfy the guidelines provided in this “letter”, DIWD, as the lead Title IX coordinator, in conjunction with others across campus, worked to revise policy 6.4, the policy on harassment and discrimination. The goal is to incorporate policy 6.3, sexual assault, and relevant portions of the Cornell Code of Conduct into 6.4 to create a compliant complaint procedure for sexual harassment and sexual assault/violence matters. In FY13, a draft of the revised policy was developed and shared with the Cornell community for feedback, through a stakeholder review process, then submitted to the Policy Advisory Group for approval. The updated policy is scheduled to go before the Executive Policy Review Group in July 2013 for final approval.

**Office of Federal Contract Compliance Programs (OFCCP) Audit**

On September 11, 2012, Cornell received notification that its Ithaca location was selected for a compliance review by the Office of Federal Contract Compliance Programs (OFCCP). DIWD submitted a response on behalf of the university as well as several responses to requests for additional information. The audit is still active.
Appendices

A. Human Resources and Safety Services Goals for FY13
B. Human Resources and Safety Services Goals for FY14
C. Human Resources Strategic Plan
D. Human Resources and Safety Services Toward New Destinations Outcomes for FY13
E. Human Resources and Safety Services Toward New Destinations Goals for FY14
### HR and Safety Services Goal

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<th>Number</th>
<th>Division Key Objectives</th>
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<td></td>
<td><strong>Diversity</strong></td>
<td>1) Expand and formalize the Recruitment Ambassador Program to support recruitment of diverse faculty and staff; 2) Evaluate, develop and deliver supervisory training programs to support diversity recruitment and retention efforts; 3) Incorporate University and employment brand messaging through recruitment and retention communication vehicles; 4) Implement new Diversity and Careers web pages; 5) Identify and participate in strategic targeted outreach efforts; 6) Actively support the implementation of the Toward New Destinations program across all campus units; 7) Increase the diversity of our workforce by embracing and advocating, within each organization, for the attraction, interviewing and selection of diverse talent; 8) Deliver demographic profile of each college/unit to leadership; 9) Implement the Diversity Retention (C2E3) Plan for Staff; 10) Clearly articulated strategies for recruitment and retention of diverse faculty and staff</td>
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<td>Increase the diversity of Cornell’s workforce and create an inclusive climate Cornell the best employer for faculty and staff from diverse backgrounds.</td>
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<p>|        | <strong>Diversity 1.1 Toward New Destination</strong>                                                 | 5 goals for the Division of HR and Safety Services                                                                                                                                                     |
| 1.1    | <strong>Toward New Destination</strong>                                                               | X                                                                                                                                                                                                     | X |</p>
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<th>HR and Safety Services Goal</th>
<th>Number</th>
<th>Division Key Objectives</th>
<th>Deliverables</th>
<th>Faculty Excellence</th>
<th>Excellence in Research, Scholarship, and Creativity</th>
<th>Educational Excellence</th>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2</td>
<td>Response to Employee Survey</td>
<td>See objectives 2.1 - 2.6</td>
<td>X</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2.1</td>
<td>Design of effective strategies for staff career growth and movement</td>
<td>Implement Career Choices: 1) Design, communicate, &amp; begin roll out of Career Choices; 2) Finalize intro framework; 3) Develop est. timeline for communication &amp; implementation, including manager training; 4) Develop mechanisms for staff &amp; managers to network for career development opportunities; 5) Explore &amp; determine whether to adopt competency template in relation to job skills; 6) Establish integration with Workday;</td>
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<td>HR and Safety Services Goal</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2.2</td>
<td>Develop and implement supervisory feedback mechanism</td>
<td>1) Develop mechanisms for leaders to gather &amp; disperse staff feedback on supervisory performance; 2) Train leaders to provide the feedback and for supervisors to receive and act on the feedback; 3) Design guidelines &amp; strategies for Staff Involvement when leaders are considering changes that will impact the work environment.</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2.3</td>
<td>Workload Analysis and balance</td>
<td>1) Develop process, toolkit and training for HR Directors and generalists to provide staff avenues to request position classification &amp; analysis reviews to achieve improved workload balance and appropriate recognition in classification; 2) Alignment and Change Tools: Redesign approach, access and promotion of current change tools in light of workload management. Output will be incorporated into Position Analysis approach.</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2.4</td>
<td>Create and model a culture of recognition and award.</td>
<td>Implement 4 strategies for recognition and rewards: 1) No cost/low cost recognition; 2) Awards: Individual Excellence Award, Management Award, President’s Award for Innovation in Diversity &amp; Inclusion, &amp; President’s Award for Excellence--“Far Above Cayuga’s Waters”; 3) Employee Appreciation Month; 4) Support Employee Assembly Kudos program</td>
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<td>Staff &amp; Faculty Excellence</td>
<td>2.5</td>
<td>Conduct ongoing job family reviews for: Student Services, Athletics, HR, and anchor roles in Administration (Admin Assistants and Administrative Managers).</td>
<td>Updated classification generic descriptions / job progressions for these functions.</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2.6</td>
<td>HR and Safety Services response to the Division’s Employee Survey feedback</td>
<td>1) Hold Meetings with the staff to gather more information of their concerns; 2) Develop ways to recognize employees; 3) Provide the tools and environment to staff that allows them to perform their responsibilities 4) Understand the workload issue 5) Determine how the division can implement release time for wellness</td>
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<td>HR and Safety Services Goal</td>
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<td>Staff &amp; Faculty Excellence</td>
<td>3</td>
<td>Supporting Faculty Recruitment</td>
<td>1) Academic search &amp; applicant management system used in all academic searches; 3) Identify &amp; share current campus best practices for faculty orientation; 4) Develop clear strategies &amp; tools to support faculty recruitment; 5) Incorporate University &amp; employment brand messaging through recruitment communication vehicles;</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>4</td>
<td>Addressing HR need of Academics</td>
<td>Create the academic Services Council</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>5</td>
<td>Culture of Management</td>
<td>Training for senior leadership designed and delivered on the topics of manager roles and responsibilities, civility, respect and moral leadership</td>
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<td>HR and Safety Services Goal</td>
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<td>6</td>
<td>Succession Planning</td>
<td>1) Carry forward progress from FY12 goal; 2) Develop a succession strategy in key Cornell populations--admin execs. &amp; financial leadership; 3) Identify critical positions and plans to develop key talent; 4) Move forward practice to institutionalize initial strategies into annual strategic planning process; 5) Implement campus-wide succession dashboard to be used by execs in annual planning</td>
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<td>7</td>
<td>Cornell NYC Tech</td>
<td>Design and provide HR programs, plan and policy in the areas of 1) benefits; 2) Recruitment; 3) On-boarding; 4) Compensation; 5) HR Generalist services</td>
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Staff & Faculty Excellence X

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<tbody>
<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>8.1</td>
<td>Continue to modify faculty and staff and retiree health plans to reduce the pressure on costs and properly anticipate clinical services marketplace evolution</td>
<td>1) Consolidate health plan administrators; 2) Reformat health plans for active employees; 3) Reformat retiree health plans to meet new market conditions; 4) Finalize new contract with pharmacy benefit management firm.</td>
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</table>

| Staff & Faculty Excellence | 8.2    | Use the newly established Retirement Plan Oversight Committee (RPOC) to fully achieve retirement plan compliance goals in the new regulatory environment. RPOC decisions affect the Ithaca and the WCMC campuses. | 1) Adopt an investment policy statement and establish and implementation timeline; 2) Establish ERISA expense accounts at each vendor and formally designate funding for various expenses; 3.) Develop communications goals for both campuses and a strategy for implementation of communication initiatives; 4.) Establish formal process for reviewing appropriate investment funds for the four plans and the selection and implementation strategy. |

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<th>Staff Excellence</th>
<th>Excellence in Research, Scholarship, and Creativity</th>
<th>Educational Excellence</th>
<th>Excellence in Public Engagement</th>
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## Appendix A: Division of Human Resources and Safety Services

### FY13 Key Objectives Summary

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<tr>
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<tbody>
<tr>
<td>Workday</td>
<td>9</td>
<td>Configure and deploy the Workday HCM/Payroll application broadly across campus. Working toward deployment, stabilization and production support.</td>
<td>1) Configuration of initial prototype (in progress); 2) Iterative campus review, input, and decision on configuration; 3) Technical build of integrations; 4) Campus hands-on testing; 5) Deployment preparation and final training; 6) Deployment and stabilization</td>
</tr>
<tr>
<td>Workday</td>
<td>9.1</td>
<td>Policies: HR and Business Process Optimization</td>
<td>Focus is on topics for Workday go live - Multiple jobs and Benefits Eligibility, Time off &amp; Leaves and Paid Time off, 40 Hour work week and FTE Definitions</td>
</tr>
<tr>
<td>Safety &amp; Compliance</td>
<td>10</td>
<td>Water Compliance</td>
<td>Develop, communicate and implement a strategy plan for ongoing water compliance to address continuing regulatory changes to water program areas. Resource commitments impacting water program: 1. Municipal Sewer; 2. SPDES Permits &amp; Compliance; 3. Stormwater; 4. SAFO and Manure Management.</td>
</tr>
</tbody>
</table>
## Appendix A: Division of Human Resources and Safety Services
### FY13 Key Objectives Summary

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<tbody>
<tr>
<td>Safety &amp; Compliance</td>
<td>11</td>
<td>Chemical Inventory</td>
<td>Implement a campus-wide chemical inventory system for research areas to ensure compliance with various local, state, and federal regulations (Fire code 209-U form, Homeland Security CFATS, controlled substances, OSHA Hazard Communication Standard).</td>
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<tr>
<td>Safety &amp; Compliance</td>
<td>12</td>
<td>Emergency Management System Implementation</td>
<td>1) Review, strengthen, integrate and institutionalize all hazards emergency management plans; 2) Foster partnerships with state and local community; 3) Perform training and drills across the campus community</td>
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<tr>
<td>Safety &amp; Compliance</td>
<td>13</td>
<td>Review and update Health &amp; Safety Policy 2.4</td>
<td>1) Create rough draft of policy 2.4; 2) Determine key stakeholders; 3) Solicit comments from Associate Directors, EHS managers (internal &amp; college)</td>
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<tr>
<td>Safety &amp; Compliance</td>
<td>14</td>
<td>Finish Spillman implementation: Obtain final form from vendor to complete contractual obligations.</td>
<td>Obtain finished Arrest form from Spillman</td>
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</tbody>
</table>
## Appendix A: Division of Human Resources and Safety Services

### FY13 Key Objectives Summary

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<tbody>
<tr>
<td>Safety &amp; Compliance</td>
<td>15</td>
<td>Unify campus efforts towards consistent security practices across departments and programs.</td>
<td>1) Create security standards agreed upon and followed by all new and large renovation stakeholders; 2) More specifically define programmatic security needs to achieve a more efficient implementation of security systems; 3) Identify associated costs with systematic security installment programs</td>
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<tr>
<td>Safety &amp; Compliance</td>
<td>16</td>
<td>Develop Clery plan for Cornell NYC Tech</td>
<td>1) Use current resources to identify an implementation protocol for Clery compliance; 2) Identify timeline for implementation and triggers for program expansions; 3) Identify security plans for Cathy Dove review and selection in order to address new campus security needs; 4) Create tailored Clery education program for appropriate CornellNYC Tech employees</td>
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### Appendix B: Division of HR and Safety Services
#### FY14 Key Priorities

**The division key priorities in support of the University Strategic Plan are:**

1. Provide competitive benefits, programs and services to attract and retain a diverse, high caliber faculty and staff
2. Support university leadership efforts with a strategic workforce plan that creates a climate of innovation and educational excellence
3. Cultivate an inclusive and welcoming environment on campus and in the local community
4. Foster a positive and civil environment that lets faculty and staff thrive at home and in the workplace
5. Create strategic processes that support university goals and balance compliance with the need for innovation

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<th>Number</th>
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<tbody>
<tr>
<td>Diversity</td>
<td>1</td>
<td>Increase the diversity of Cornell’s workforce and create an inclusive climate, Cornell the best employer for faculty and staff from diverse backgrounds.</td>
<td>(1) Identify college and unit staff and faculty initiatives under Toward New Destinations and provide foundational support for the completion of those initiatives; (2) Revise demographic profile of each college/unit to support metric needs under Toward New Destinations; (3) Implement clearly articulated strategies for recruitment and retention of diverse faculty and staff; (4) Refine and adapt recruitment and retention messaging and tools to align with targeted recruitment and retention efforts; (5) Implement pilot of C2E3 staff diversity retention program with 2 colleges or units; (6) Implement “diversity academy” training for diversity councils and HR professionals.</td>
</tr>
<tr>
<td>Diversity</td>
<td>1.1</td>
<td>Toward New Destination</td>
<td>5 goals for the Division of Human Resources and Safety Services: (1) Continue HRSS efforts to increase the diversity of applicant pools, training managers to personally enhance pipelines and forecast needs for succession planning. (2) Ready the HRSS workforce to recruit, employ and retain veterans by implementing a skills conversion tool for veterans and providing training for managers to value transferable skills, break down perceived barriers, dispel myths and work with veterans and veterans with disabilities. (3) HRSS employees will attend three additional diversity trainings, one of which will be a newly created (in collaboration with CITE) facilitated discussion around the culture of inclusion. (4) Develop a consistent and branded communication of diversity efforts in our division that collaborates with other division diversity council efforts, highlights trainings, seminars, and campus and community events that enhance cultural awareness through multimedia sources. (5) Actively educate HRSS members on disability as an aspect of inclusion in order to be a resource to our constituents and stay ahead of trends in employment and education relating to inclusive practices around disability.</td>
</tr>
<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2</td>
<td>Response to Employee Survey</td>
<td>See objectives 2.1 - 2.6</td>
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<td>Goal</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2.1</td>
<td>Design of effective strategies for staff career growth and movement</td>
<td>Implement approved recommendations. We expect this to be several components, but possibly not all of Career Choices. We also expect there to be some additional recommendations. We at least foresee: (1) Rolling out dual career track classification model; (2) Continuing to expand use of career tools on the web such as Optimal Resume and Wisdom Share Mentoring; (3) Begin to populate competencies, probably by job family starting with Libraries; (4) Continued integration with Workday for these upgrades and other talent management tools</td>
</tr>
<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2.2</td>
<td>Develop and implement supervisory feedback mechanism</td>
<td>Implement approved recommendations: (1) Develop mechanisms for leaders to gather &amp; disperse staff feedback on supervisory performance; (2) Train leaders, and possibly staff, to provide the feedback and for supervisors to receive and act on the feedback; (3) Design guidelines and strategies for staff involvement when leaders are considering changes that will impact the work environment.</td>
</tr>
<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2.3</td>
<td>Workload Analysis and balance</td>
<td>Implement approved recommendations. We expect this to be at least expansion of the LEAN Process Improvement method (including development of more certified facilitators and a cadre of peer consultants) and integration with Workday when, and as far as, the system is able to sustain.</td>
</tr>
<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2.4</td>
<td>Foster a culture of recognition and award</td>
<td>Evaluate and refine recognition and award efforts introduced in FY13 and re-engage around the President's Award for Innovation in Diversity and Inclusion. (1) Review and refine all aspects of the Awards process (criteria, nomination process, evaluation, selection and luncheon). (2) Collaborate with Lynette Chappell-Williams (and the University Diversity Council) to define the criteria, nomination, review, selection process and FY14 feasibility of the President's Award for Innovation in Diversity and Inclusion (3) Identify and advance Recognition Event Days. (4) Expand the Recognition and Award program by reaching beyond the Ithaca campus as practical.</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2.5</td>
<td>Conduct ongoing job family reviews for: Academic Support, Auxiliary Services, HR, Facilities Services, and anchor roles in Administration (Administrative Assistants and Administrative Managers) during FY14.</td>
<td>Updated classification generic descriptions/job progressions for these functions.</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>2.6</td>
<td>Human Resources Employee Survey feedback</td>
<td>Review survey results and progress to date. Develop action plans that will continue to address survey feedback and as a result, foster an improved working environment in central HR.</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>3</td>
<td>Supporting Faculty Recruitment</td>
<td>(1) Assess academic search tools and determine future strategy; (2) Identify &amp; share current campus best practices for faculty orientation; (3) Develop clear strategies &amp; tools to support faculty recruitment; (4) Incorporate University &amp; employment brand messaging through recruitment communication vehicles</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>4</td>
<td>Addressing HR need of Academics</td>
<td>Activate the Academic Services Council</td>
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<tr>
<td>Staff &amp; Faculty Excellence</td>
<td>5</td>
<td>Succession Planning</td>
<td>(1) Deliver bi-annual reports to trustees on Executive and Financial Succession Plan; (2) Complete succession plans for all administrative units; (3) Begin succession planning for administration in the colleges.</td>
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<tr>
<td>Goal</td>
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<td>Staff &amp; Faculty</td>
<td>6</td>
<td>Cornell NYC Tech</td>
<td>Design and provide HR programs, plan and policy in the areas of (1) Benefits; (2) Recruitment; (3) On-boarding; (4) Compensation; (5) HR Generalist Services</td>
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<tr>
<td>Excellence</td>
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<tr>
<td>Staff &amp; Faculty</td>
<td>7.1</td>
<td>Continue to modify faculty, staff and retiree health plans to reduce the pressure on costs and properly anticipate clinical services marketplace evolution</td>
<td>(1) Implement dissolution of the Aetna 80/20 Plan for active faculty and staff as an outdated, costly plan design; (2) Study the implementation of a Medicare Part D plan to replace retiree drug subsidy program in January to access greater federal subsidies, as we; (3) Continue to study the effects of switching to a defined contribution approach for retiree health care to decrease FAS106 liability and current costs of providing the benefit; (4) Continue to work with CAP and Guthrie on their march to medical accountable care organization status; and (5) Continue to develop health plan and Cornell Wellness Program collaboration to achieve a healthy campus environment.</td>
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<td>Excellence</td>
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<tr>
<td>Staff &amp; Faculty</td>
<td>7.2</td>
<td>Use the Retirement Plan Oversight Committee (RPOC) to fully achieve retirement plan compliance goals in the new regulatory environment. RPOC decisions affect the Ithaca and the WCMC campuses.</td>
<td>(1) Implement revenue account protocol, on-going basis; (2) Finalize investment fund review and recommendation process with CAPTRUST; (3) Implement plan record keeper agreements; (4) Develop communications goals for both campuses and a strategy for implementation of communication initiatives.</td>
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<tr>
<td>Excellence</td>
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<td>Workday</td>
<td>8</td>
<td>Stabilize deployment of Workday HCM/Payroll and the support organization. Begin planning and execution of continuous innovation.</td>
<td>(1) Stabilization: integrations, BP’s, processes, data integrity; (2) Organization: team &amp; individual roles, procedures; (3) Innovation: successfully manage Workday releases, open enrollment, and year end processing; implement pilot projects from among these areas - mobile, documents, onboarding, military/dbl, contingent, talent, SIP/merit</td>
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<tr>
<td>Workday</td>
<td>8.1</td>
<td>Policies: HR and Business Process Optimization</td>
<td>Focus is on topics for Workday - upcoming releases of 20 and 21 with a focus on multiple jobs in benefits, costing allocation, photos, open enrollment and W2 processing.</td>
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<td>Safety &amp; Compliance</td>
<td>9</td>
<td>Water Compliance</td>
<td>Continue the progress on the sanitary sewer permit for the University. Complete the formal draft of the permit to be submitted for a final permit determination by the DEC.</td>
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<tr>
<td>Goal</td>
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<td>Safety &amp; Compliance</td>
<td>10</td>
<td>Chemical Inventory</td>
<td>Implement the chemical inventory system to be made available for research areas to assure compliance with various local, state, and federal regulations and to facilitate inventory levels needed in lab spaces. Continue to investigate the impact of a “central store” location to decrease time to obtain materials and reduce truck traffic on campus and decrease costs to end users.</td>
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<tr>
<td>Safety &amp; Compliance</td>
<td>11</td>
<td>Emergency Management System Implementation</td>
<td>To assure the newly completed emergency management program is appropriate for this university, an external audit of the program will be conducted and a plan will be developed to complete actionable items noted. Also included is conducting three (3) targeted emergency exercises and drills regarding potential high risk emergencies on campus (such as senior leaders, utilities, and NoroVirus).</td>
</tr>
<tr>
<td>Safety &amp; Compliance</td>
<td>12</td>
<td>Safety Health and Wellness</td>
<td>Develop a comprehensive strategy to bundle existing services regarding employees health, safety and wellness. By developing a more cohesive organization, the employees will be able to return to work in a more timely fashion, reducing the financial burdens to potentially the employee and the university. The services will also offer a comprehensive look at work life balance by using services already available in a current disjointed fashion and make a more streamlined approach to bring people back to work after illness or injury.</td>
</tr>
<tr>
<td>Safety &amp; Compliance</td>
<td>13</td>
<td>Unify campus efforts towards consistent security practices across departments and programs.</td>
<td>(1) Create security standards agreed upon and followed by all new and large renovation stakeholders; (2) More specifically define programmatic security needs to achieve a more efficient implementation of security systems; (3) Identify associated costs with systematic security installment programs</td>
</tr>
<tr>
<td>Safety &amp; Compliance</td>
<td>14</td>
<td>Develop Clery plan for Cornell NYC Tech</td>
<td>(1) Use current resources to identify an implementation protocol for Clery compliance; (2) Identify security plans for Cathy Dove’s review and selection in order to address new campus security needs</td>
</tr>
</tbody>
</table>
Executive Summary

The HR function continues to provide critically important services to Cornell. However, we must continue to evolve in order to provide the leadership and support required to recruit, hire and retain top performing talent that will support university priorities. With attention to diversity and inclusion in all we do and an understanding of the university’s mission, we are prepared to make Cornell’s workforce world class.

The following overview and assessment outlines the pressures we face and the opportunities before us. To align our efforts, the division’s FY14 priorities are identified along with some key organizational changes that will help us focus our resources on priority work.

I am excited about these changes and believe they will provide a better opportunity for our HR organization to be successful as we tackle the challenges ahead. I appreciate what the HR staff do every day to serve the Cornell community and hope the changes in the organization will provide some of you with new ways to contribute. I look forward to working with you to advance our priorities and continue to enhance on our own work environment.

Mary Opperman
Vice President, Human Resources and Safety Services

Plan Contents

- Overview
- Current Environmental Pressures
- Internal Assessment of Human Resources – Opportunities
- HR Priorities
- Organizational Adjustments
- Glossary of Terms

Overview

Working with Mary Opperman, the directors of Human Resources compiled the following report that provides a new framework for HR engagement across the university. The next steps and the future effectiveness of HR at Cornell depend on all of us.
In a January 2011 report, “The Top 10 Best Practices for the High Impact HR Organization” Bersin and Associates noted that, on the path to excellence, HR organizations must first get the basics right, and they should focus on becoming excellent through evolution, not revolution.

The report points to 10 best practices necessary for an HR organization to have real impact in the organization it serves:

1. Structured governance and business case development
2. Development of advanced workforce planning* capabilities
3. Implementing a meaningful HR philosophy
4. Reducing administrative work for HR partners
5. Implementing a flexible HR design
6. Improving employee-facing HR systems
7. Measuring both HR operational and business metrics
8. Developing internal HR skills
9. Improving line manager capabilities
10. Outsourcing HR services strategically

*“Workforce planning” is a systematic process that looks at what an organization needs to accomplish in a given period of time due to business goals and strategies; what knowledge, skills and experience are required to get the job done; and, what size and type of workforce is required to provide that mix of skills, knowledge and experience. The workforce planning process then compares current workforce data on employees, as well as external data on workforce segments, and creates a gap analysis that highlights general workforce needs, critical talent segments and their needs, and required workforce reductions to meet business needs.

At Cornell we have worked on many of these identified best practices and have made progress in some areas, however we still have work to do in many areas. We must respond more rapidly to the changing needs of Cornell and the changing workforce and talent pools. We are positioned now, better than ever, to sharpen our focus on basic services and to advance these best practices.

The implementation of an effective HR information system (Workday) creates a necessary foundation upon which Cornell’s Division of HR can now solidify greater alignment between more efficient and effective services and link them to Cornell’s core missions. Key elements of this plan are an approach to organizational effectiveness that supports process improvement and streamlining; talent strategies that attract, retain, engage and develop key and diverse talent; and a focus on supporting managers, meeting leadership expectations and advancing succession planning.

To be successful in this effort there must be a strong linkage between organizational results and total-reward systems, through competency-based career and development planning, and robust succession management. The programs of the human resources functions must align to deliver on institutional goals and be underpinned by understandable analytics that staff and leaders need in order to align their understanding of how meeting objectives advances university goals and how doing so results in greater rewards. There are many aspects of Cornell’s HR operation that run well, but the function needs to be better aligned and administrative procedures need to be further streamlined.
Current Environmental Pressures

The Great Recession caused the university to reduce its staff workforce by more than 9% at a time that the nation is becoming more racially/ethnically diverse and employers around the world are experiencing greater age diversity in the workplace. At the same time faculty renewal has begun in earnest and, as staff retire and new staff are recruited, diversity of the workforce will increase. According to Census Bureau information and U.S. Labor Department forecasts, the Hispanic and Asian populations are expected to double between now and 2060, and as of 2015, there will be five generations in the workforce with different expectations about how they will perform their work. These demographic changes will significantly impact our recruitment strategies and our structure for completing work, if we are to remain competitive. Resources will continue to be constrained and Cornell will look for different ways to meet its obligations to students, advance innovations and serve its public service mission. Work on the campus will become more complex, requiring broader skills and the ability to work with a diverse faculty, staff and student population.

We need to build a diverse, agile, lean workforce to meet the university’s mission. Recruiting this talent will not be easy, as we will be competing with other leading organizations. However, these challenges mean the university will rely more heavily on the HR function. This gives us a great opportunity to shape the future of the university by finding new talent and invigorating the current workforce to growth with us.

We have the plan that will help take us into that future.

Internal Assessment of Human Resources – Opportunities

After analyzing the current state of our division, and reviewing feedback about the HR operation that has been shared over the last few years, the following assessment has been developed. It frames the key opportunities we must address in order to effectively advance a best practice operation in the coming years. Each opportunity brings a set of challenges that must be acknowledged. As we create stronger organizational alignment and linkages these challenges will be easier to identify, permitting us to plan and execute reasonable solutions. Resource constraints may require us to make difficult choices about the order in which we tackle these challenges. The division will likely make more rapid progress in some areas while planning for more long-term execution in other areas. We must stay committed and strive to become a best practice organization in all of our priority areas.

- **Create alignment** – The whole must be greater than the sum of our parts. There can be no success within component parts of the campus related to HR, whether it is within a college/unit, within a specialty area or considering HR apart from the broader missions of the university.
  - Top talent expects fluidity in terms of career movement, and when we recruit into Cornell, we should do so with an understanding that ambition and career goals are healthy and keeping talented staff at Cornell will require a university commitment to do so.
  - Linking information from performance reviews, training, competency assessments and position requirements is essential for this movement to occur effectively. As
additional functionality comes online Workday will permit this linkage but each of these components MUST:

- be simple to use and understand by all generations;
- be used by managers and staff who are well trained;
- leverage technology to make us more productive, and;
- be management led.

- **Integrate a focus on workforce diversity and workplace inclusion into every aspect of the HR system** – Diversifying our workforce and creating an inclusive work environment are integral to the success of the university. Diversity must be integrated into every aspect of HR’s work and the responsibility of each HR professional.
  - Our entire HR system described above should see diversity and inclusion as key elements of our core mission. Outreach and recruitment efforts must include sourcing individuals of diverse backgrounds, and HR must advance policies, programs and services that establish an integrated, aligned system to support the needs of a talented workforce. If HR is doing its job well, these programs and services will attract and retain a diverse workforce.
  - The university’s Toward New Destinations initiative, driven by the University Diversity Council, should provide the framework for how HR develops its programs for staff and faculty and how employment practices are integrated into HR operations.
  - To attract and retain diverse talent requires particular emphasis on the unique needs of our under-represented communities as we strive to increase our overall diversity.
    - To more effectively recruit diverse populations, we need to foster existing, and develop new, partnerships with organizations in the local community as well as represented nationally, that address the employment interests of diverse populations.
    - To better respond to the needs of a more diverse workforce we must increase our own cultural competency and encourage Cornell community to increase its cultural competency as well.

- **Place an emphasis on supporting top leadership** –
  - From the president through the vice presidents, vice provosts and deans, we need to support our top leadership. Identifying, on-boarding, supporting and planning for succession of leadership is critical to the operation of the university.
    - This aspect of HR has not been given enough attention and as the university faces continual challenges, the importance of having a cohort of leaders who have a clear sense of the mission and of their roles, as individual leaders and as institutional leaders, becomes clear.
      - Leadership on-boarding – both socially and professionally – is critical.
      - Leadership support in the first year to answer questions and provide advice and connections is also critical.
      - Team-based support and leadership planning is key for university leaders.
Succession planning of the leadership team is critical. We need to develop and adopt processes to make succession planning part of the on-going management of the executive level of the university.

- It is important to train top leadership about why this is an important process for them to use within their own organizations.
  - A sustainable process cascaded throughout the university will increase the alignment of the career movement aspect of the talent management system.
- Succession planning is also important at the Board of Trustee level and should be supported by human resources as well.

- **Position Human Resources as a valued business partner supporting management decision-makers** – The climate in the various work units of the university are most impacted by the actions taken each day by managers and supervisors. The most valuable services we can provide to managers and leaders are solid data and analysis, and trusted advice and counsel that enhance a manager’s ability to manage.
  - It is vital that managers take responsibility for their teams – from creating effective positions to developing and rewarding talent to engaging in healthy problem resolution strategies.
  - We need to prepare leaders not only with data, but with knowledgeable insight so they can manage their staff and business strategies effectively.
  - People are the most valuable asset of an organization. HR’s expertise in acquiring, engaging and developing talent will help managers achieve their objectives and deliver results.
  - When managers plan their human resources strategically - as they do their financial resources - HR professionals will be called on to provide more sophisticated modeling, forecasting and benchmarking. HR staff across campus need to embrace the role of advisor and counselor and offer information to enable managers to address employee relations, compliance and other issues they face within their units.

- **Recognize top performance** - We must recognize top performance by supporting and encouraging staff career development opportunities and by demonstrating appreciation for contributions and achievements. It is essential that strategies be deployed that reinforce positive work behaviors and help build a culture of value that attracts and retains those with top performance.

We must create simpler policies that enable and encourage managers to address performance issues directly, quickly and constructively:

- Provide direct feedback and offer opportunities for additional training, where appropriate
- Streamline disciplinary processes, when that is the appropriate process, to be addressed in a reasonable timeframe
- Ensure HR generalists know and understand these timeframes and are well trained to provide advice.
• **Bolster organizational effectiveness** – An underpinning of an effective university is an organization that has thought through its work processes and determined how to use its resources. Organizational Effectiveness is the key to Cornell’s future.
  
  o Organizational effectiveness is critical to the successful use of talent within an aligned system. It is essential that each college and unit, and the university as a whole, tackle the difficult task of aligning work to available resources – shedding bureaucracy, streamlining processes and making hard choices with remaining work until what is left aligns with the staff and financial resources within the organization.
  
  o We must support these efforts with specific tools that quickly help leaders work through these tough choices. While the choices remain for the leaders, it is the case that tools are available to assist the leaders, and these tools need to be used consistently across the university so decisions are made within a consistent framework and possible complementarities are identified.

• **Reconfirm the centrality of the HR business partner role** - All best-of-class HR functions know their organizations very, very well. They understand what is happening in the organization and in their specific units and pivot their programs and services to respond to changing needs. They understand how decisions are made and use those decision-making models to get HR work done. It is critical that our central operations be fully tuned in to what is happening – not just at the university level, but at the colleges and within the units as well. Likewise, HR generalists should be able to turn to central specialists for best practice information and for efficient services that support emerging needs.
  
  o HR Council must serve as the information-sharing vehicle for business partners and with central specialists.
  
  o HR Council members should come prepared for discussions and inform their college/unit leaders and HR teams of issues discussed at meetings.
  
  o HR Academic Council needs to be active in addressing the issues in academic policies.

• **Drive key HR actions by data-driven decisions** - Decisions regarding the effectiveness of HR programs and services that advance the organization towards its core missions must be made through the use of data. Workday provides the mechanism to gather internal data we need to make informed decisions.
  
  o HR must assign resources and apply a disciplined approach to collecting, considering and sharing this data with leadership. Industry benchmark data and qualitative data round out this internal quantitative data and all are needed for HR to fulfill its responsibilities.
  
  o HR data should enable managers to set and assess progress and performance, quickly identify problems and potential efficiencies, and forecast needs and trends.
  
  o Data provides us with the ability to shift from a reactive, transaction-based function to a proactive, strategic-based partner that can provide valuable organizational leadership.

• **Reduce the bureaucracy in HR** - Ensure that policies are appropriately written and managers are educated adequately on their role and where to go for information and advice.
We need to be our own harshest critic. If processes take weeks or months to get through, or if a manager has to rely on an HR generalist to understand a policy because of the way it is written, we need to make a change. This is critical to make Cornell’s workforce world class.

- We need to make it much easier for a manager to understand how a position compares to others on the campus, and how pay compares to market. We need to make it possible for top performers to have their jobs assessed quickly and have their contributions recognized. Our process should be responsive and facilitate the conversation between the decision maker and the staff member.
- Benefits should be well understood and celebrated. They should be viewed and appreciated as the compensation they are. Questions about them should be answered quickly, effectively and happily.
- Policies should be simple and direct. Guidance that is not university-wide is not a policy and should be re-thought. Procedures should be simplified and made consistent across the campus.

**HR FY14 Priorities**

As we begin a new fiscal year we have several priorities that continue from FY13 and others, which are based on addressing the opportunities above. Each one provides us tremendous opportunity to build our community by partnering together, committing to positive outcomes, working smarter and creating a singular HR direction for the university.

1. Lead effective diversity efforts, in alignment with Toward New Destinations
2. Improve workforce planning efforts:
   a. Increase targeted diversity recruitment efforts
   b. Continue succession planning process
   c. Assess current skills needs and shortages
   d. Advance a targeted career planning/training approach to fill gaps
3. Address the issues identified in the staff survey
4. Stabilize and optimize Workday
5. Agree on HR operational and organizational metrics
6. Increase the efficiency of HR operations:
   a. Identify opportunities to streamline HR procedures
   b. Maintain cost-effective benefit programs and collaboratively develop healthy campus outreach efforts.
   c. Advance organizational effectiveness strategies, including LEAN, that support campus efforts to increase efficiency

**Organizational Adjustments**

To advance an integrated, aligned system of programs and services, establish a more direct governance structure and enable career growth, several changes are being made to the structure of the Division of Human Resources as detailed below.

Redesigned HR leadership structure:
• AVP of Operations for HR & Safety Services: Betsy Shrier will hold this position and will focus on enhancing the division’s infrastructure and operating foundation as well as advancing our divisional data analytics efforts. In addition to the operational aspects of finance, facilities, communication, and IT for the division of HR&SS and events planning for HR, Betsy will also oversee:
  o the HR Information Systems including Workday and CU Learn
  o and manage special assignments from the VP
• AVP of Human Resources: Allan Bishop will hold this position. He will be responsible for overseeing core HR programs and services that support our talented workforce. In addition to the ongoing leadership of his existing organization, he will assume oversight responsibility for:
  o Benefits
  o Work and Family Services
  o Workforce Policy and Labor Relations
• AVP of Organizational Effectiveness: Chris Halladay will hold this position. He will be responsible for partnering with colleges and units to align work to available resources, integrate talent planning, address compensation job structure, and support leadership and staff development. Chris will also oversee:
  o Compensation

As a result of the organizational realignment, Lynette Chappell-Williams, AVP Inclusion and Workforce Diversity will be positioned to concentrate more fully on a leadership role within the University Diversity Council in identifying institutional strategies to advance diversity broadly defined, providing advice and counsel to HR on best practices in all areas of diversity and inclusion, as well as leading our Affirmative Action and Title IX efforts.

HR Council serves as the information-sharing vehicle for business partners and central specialists. To continue to promote HR Council’s role in serving the needs of the college and units, Tony Caudill will take the lead in soliciting input, developing the agendas and leading Council meetings. Tony will continue to lead the HR functions of College of Agriculture and Life Sciences.

Sandy Dhimitri will take the lead in Academic HR and the formation of an Academic HR Council that will address the issues of academic policies. She will continue to lead the HR functions for Human Ecology and University Library.

**Glossary of Terms**

- **Succession planning**: a process for identifying and developing internal people with the potential to fill key positions in the organization.
- **Organizational effectiveness**: the concept of how effective an organization is in achieving the outcomes the organization intends to produce.
- **Process improvement:** a systematic approach to help an organization optimize its underlying processes to achieve more efficient results.

- **Streamlining:** to construct or design in a form that offers the least resistance to fluid flow. Streamlining of processes not people.

- **Talent strategies:** using strategic HR to improve value and make it possible for organizations to reach their goals.

- **Total-reward systems:** all of the tools available to the employer that may be used to attract, motivate and retain employees.

- **Competency-based career and development planning:** development programs that allow employees to progress through a phased program of development aimed at increasing employee competencies and preparing them to take on increased responsibility.
<table>
<thead>
<tr>
<th>2012-13</th>
<th>Initiative 1: Composition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constituent Group</td>
<td>Staff</td>
</tr>
<tr>
<td>Initiative Description</td>
<td>The HR&amp;SS division will improve recruitment strategies in order to increase the diversity of applicant pools.</td>
</tr>
<tr>
<td>Rationale</td>
<td>Our goal is to increase applicant pools that reflect the diversity of available candidate pipelines taking full advantage of rich backgrounds builds strong successful staffs. More aggressive recruitment strategies are needed to enhance the diversity of our applicant pools.</td>
</tr>
<tr>
<td>Design</td>
<td>All hiring managers, HR Consultants, HR Assistants and all senior leaders in HR&amp;SS will participate in a presentation, conducted by Recruitment and Employment Center (REC) on services provided in basic recruitment strategies. Before posting a position, the hiring manager will be required to develop a recruitment strategy with the division’s HR Consultant and/or REC that includes specific efforts to recruit qualified and diverse applicants. A decision by the hiring manager and HR consultant to extend a search may be made when the composition of the applicant pool is not satisfactory. Extending the recruiting period beyond the initial time frame and/or the expected appointment date requires amending the search plan. Closing the search if the applicant pool does not meet the affirmative action goals requires the approval of the vice president.</td>
</tr>
<tr>
<td>Responsibility</td>
<td>• HR generalist and HR assistants will obtain the diversity and Affirmative Action Representatives demographic data for FY2012 searches to create a baseline to use for future comparisons. • REC will create a presentation of services provided including basic recruitment strategies to reach a broad audience. • Hiring managers, HR Consultants, HR Assistants and all senior leaders in HR&amp;SS will attend a presentation created by REC on recruitment of diverse applicants. • Reports on applicant pools will be delivered to the VP prior to closing any search or beginning interviews. • HR leadership and hiring managers will actively reach out and establish partnerships with “feeder” pools specific to existing goals.</td>
</tr>
<tr>
<td>Measures</td>
<td>• Meet or exceed the available applicant pipeline of diverse candidate for 90% of positions posed (where availability data is accurate and where goals exist). • All hiring managers, HR consultants, HR assistants and HR&amp;SS senior leadership will attend the recruitment presentation by June 2013. • All hiring managers will have a recruitment plan for all posted positions.</td>
</tr>
<tr>
<td>Outcomes</td>
<td>Our Recruitment and Employment Center team completed or is scheduled to complete recruitment training including strategies for recruiting a diverse workforce for HR&amp;SS supervisors, HR Consultants and Assistants supporting CUP and EH&amp;S, and HR supervisors and HR Consultants and Assistants supporting Central HR by June 2013. All searches developed a recruitment plan. Within the fiscal 2013 reporting year, closed recruitments resulted in 26 filled positions. Of the 26 positions filled, 16 were CUP patrol officers. Data for the 16 CU Police patrol office positions are not reflected below because availability data for this title is being reviewed for possible discrepancies in the census data.</td>
</tr>
<tr>
<td>Outcomes Continued</td>
<td>Of the 10 remaining positions filled, including waivers:</td>
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</table>
• 60% of those (6) had goals.
  o 100% (5) of the positions that required a full recruitment met or exceeded the established availability within the applicant pool for minorities and/or women.
    ▪ The sixth position EHS hired a white male to support the university’s dual career program.
  o 50% (3) of the hires met or exceeded the established availability.
• 20% (2) of the total number of searches had goals for women.
  o 100% (1) of the positions that required a full recruitment met or exceeded the established availability within the applicant pool.
    ▪ The second, as noted above, EHS hired a white male to support the university’s dual career program.
• 40% (4) of the total number of searches had goals for minorities.
  o 100% of the applicant pool met or exceeded the goal.

Future Plans

<table>
<thead>
<tr>
<th>Completed and/or institutionalized</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Under revision</td>
<td>YES</td>
</tr>
<tr>
<td>Under Replacement</td>
<td>NO</td>
</tr>
<tr>
<td>Continuing</td>
<td>YES</td>
</tr>
<tr>
<td>Timing</td>
<td>May 31, 2014</td>
</tr>
<tr>
<td>Accountability</td>
<td>HR&amp;SS Leadership and REC</td>
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</table>

Comment/learning:
As we worked towards our established goals, we discovered too many had been set to reasonably accomplish in the timeframe provided. However, we were able to meet most of our goals. When relying on outside data for availability references, we discovered that these official measures are not available for many aspects of diversity (such as disability, LGBTQ and veteran status), and that even when they are, accuracy of the data has been questionable. Finding a means of collecting data that more accurately reflects our diverse populations is ongoing and sensitive. We recommend that senior leadership identify a committee of appropriate individuals to proactively address this issue.
2012-13 | Initiative 2: Composition
--- | ---
Constituent Group | Staff
Initiative Description | Increasing the diversity of interview pools: The HR&SS division will increase diversity of those interviewed for posted positions within the division.

Rationale | The interview pool will meet or exceed the available pipeline of diverse candidates. Tracking proportions of women and URM moving forward through the search process (once the application is received) may help identify unintentional biases in processes. This may prevent qualified candidates from being positioned for hire.

Design | Once the interview pool is selected, the diversity of that pool will be reviewed. If diversity is lacking, targeted recruitment will continue.

Responsibility | • HR consultant will acquire and provide data relevant to applicant/interview pool.
• Hiring manager in consultation with the HR consultant will review relevant data
• Hiring manager and HR consultant will inform leadership and determine modifications, where appropriate, to the recruitment/screening strategy.
• HR leadership and hiring managers will actively reach out and establish partnerships with “feeder” pools specific to existing goals.

Measures | HR&SS will increase the diversity of the interview pool using active recruitment and screening strategies. This will increase the candidacy of qualified target groups where there is accurate availability pipeline data as the baseline.

Outcomes | Applicant and interview pools were closely monitored throughout the process to ensure that pools remained diverse. This new process of monitoring the interview pools allowed us to analyze potential trends.
- 50% (3) of searches met or exceeded the established availability in the interview pool
- 50% (3) of the hires met or exceeded the established availability.

Future Plans
- Completed and/or institutionalized: NO
- Under revision: YES
- Under replacement: YES
- Continuing: NO

Accountability

We learned that the work necessary to establish a baseline by which to show improvement would have been a sufficient initiative for FY13.

The proportion of readily identifiable women and minorities that moved to the interview process appeared to have little effect on the diversity of hires. Rather, it appears to be more important to ensure that qualified candidates make it into the applicant pool for each search, and are actively recruited throughout the process. This can be better accomplished through enhanced pipeline development, an initiative established for FY14.

For positions where there were established goals, there was a 55% increase in the number of hires that assisted the university in meeting those goals.

Although, specific goals weren’t established in FY13, 15% of the hires were Veterans, compared to only 10% last year.
### Initiative 3: Inclusion

<table>
<thead>
<tr>
<th>Constituent Group</th>
<th>Staff</th>
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</thead>
<tbody>
<tr>
<td><strong>Initiative Description</strong></td>
<td>All HR&amp;SS staff will complete a series of three diversity-related workshops, events or programs, as determined by Organizational Development for Faculty and Staff (ODFS), in consultation with the Department of Inclusion and Workforce Diversity (DIWD).</td>
</tr>
<tr>
<td><strong>Rationale</strong></td>
<td>Our values and our foundational principles compel us to go beyond our legal obligations to create a climate that is open and embracing. In order to create such a workplace, staff need the skills to navigate differences and work effectively as a part of Cornell’s caring community. That’s why it’s important for the division to provide training for staff to learn about differences.</td>
</tr>
<tr>
<td><strong>Design</strong></td>
<td>Provide the time and tools for staff to educate themselves by attending training enriched with diversity and inclusion. These sessions will provide baseline diversity knowledge for the organization, providing common language and common practices.</td>
</tr>
</tbody>
</table>
| **Responsibility** | • Require HR&SS staff to complete 3 programs.  
  • HR&SS Diversity Council, in consultation with OFDS and DIWD, will provide a resource guide for defining a “program.”  
  • HR&SS Diversity Council will assist units in the determination of acceptability of programs outside of the resource guide.  
  • ODFS will provide a list of existing programs, including the use of SkillSoft in support of blended learning.  
  • ODFS will send reminders to the HR leadership for completion reports.  
  • The supervisor will collect and submit completion reports to ODFS.  
  • ODFS will report the annual attendance to these programs to the HR&SS leadership and to the VP. |
| **Measures** | • 95% of HR&SS staff will complete the programs as described  
  • 95% of all HR&SS staff and temporary employees complete the Respect at Cornell online training |
| **Outcomes** | Respect at Cornell Training: We have reached our goal of 95% of all HR&SS staff and temporary staff receiving this training. Ongoing training during the onboarding process will ensure that we continue to comply. |
|  | While we anticipate full completion of these initiatives, the workload on some of the HR&SS staff imposed by the Workday program implementation may delay some staff from either attending three diversity programs, or from being able to provide documentation of attendance for their staff prior to the June 30, 2012 deadline. |
|  | HR&SS units, with the exception of HRIS, are at least 95% compliant with this goal or scheduled to be so by June 30, 2013 |
| **Future Plans** |  |
| Completed and/or institutionalized | NO |
| Under revision | NO |
| Under replacement | NO |
| Continuing | YES |
| Timing | May 31, 2014 |
Accountability

- ODFS will provide a list of existing programs, including the use of SkillSoft in support of blended learning.
- HR&SS Diversity Council will assist units in the determination of acceptability of programs outside of the resource guide.
- ODFS will send reminders to the HR Leadership for completion reports.
- The HR&SS supervisor will collect and submit completion reports.
- ODFS will report the annual attendance to these programs to the HR&SS leadership and to the VP.

While difficult to fit into already full work schedules, feedback around attendance of diversity programming has been overall positive. One aspect that we believe will provide the greatest benefit from this initiative is to incorporate discussions between supervisors and direct reports about the programs attended in employee performance dialogues and/or variouses. This is included in our FY14 initiatives.

*Implementation of the Workday software kept HRIS considerably occupied and unable to meet their goal. We expect to have data from HRIS attendance by July 1, 2013.*
<table>
<thead>
<tr>
<th>Constituent Group</th>
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</thead>
<tbody>
<tr>
<td>Initiative Description</td>
<td>Creating a culture of high performance and engagement benefits all employees and maximizes the ability of all employees to contribute to organizational goals. And by engaging our HR&amp;SS staff to create career mapping for various job positions, we will be one step closer to retaining high performers.</td>
</tr>
<tr>
<td>Rationale</td>
<td>Career mapping increases opportunities for growth and career development for our high performing staff population.</td>
</tr>
<tr>
<td>Design</td>
<td>HR&amp;SS will pilot a career mapping process in Environmental Health and Safety (EH&amp;S). A committee will be formed of staff from various roles and backgrounds. The goal is to share career mapping best practices with other HR&amp;SS organizations.</td>
</tr>
<tr>
<td>Responsibility</td>
<td>• EH&amp;S career mapping committee</td>
</tr>
</tbody>
</table>
| Measures | • Create a committee with a chairperson  
• Create a usable career map  
• Review final career map with EH&S  
• Share with HR&SS leadership |
| Outcomes | EH&S established a job mapping team to create a matrix of positions and requirements to encourage internal growth within the department. The team developed a process to capture the necessary requirements (i.e. level of knowledge and education) in order to be considered as a qualified candidate for growth and succession planning within EH&S.  

The information gathered during this process will be linked with future individual development plans during the annual performance dialogues. The information is slated to be shared with HR&SS leadership in their June meeting. |

<table>
<thead>
<tr>
<th>Future Plans</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Completed and/or institutionalized</td>
<td>COMPLETED</td>
</tr>
<tr>
<td>Under revision</td>
<td>NO</td>
</tr>
<tr>
<td>Under replacement</td>
<td>NO</td>
</tr>
<tr>
<td>Continuing</td>
<td>NO</td>
</tr>
<tr>
<td>Timing</td>
<td></td>
</tr>
<tr>
<td>Accountability</td>
<td></td>
</tr>
</tbody>
</table>

Comments/learning: This mapping clearly helped individuals identify the necessary skills required to move into any position in EH&S. Now staff are able identify their development needs and supervisors know what resources they need to support the goals of their staff. It remains unclear if this effort is beneficial to increasing diversity, however, it is clearly an excellent succession planning tool.
<table>
<thead>
<tr>
<th><strong>2012-13</strong></th>
<th><strong>Initiative 5: Achievement</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Constituent Group</strong></td>
<td>Staff</td>
</tr>
<tr>
<td><strong>Initiative Description</strong></td>
<td>Serve as visible university leaders in promoting leadership training for military veterans who are employed in HR&amp;SS.</td>
</tr>
<tr>
<td><strong>Rationale</strong></td>
<td>As thousands of veterans return to the United States from overseas, Cornell University is committed to being a model employer for veterans. There are currently almost 350 self-identified veterans already working at Cornell. The University is committed to diversity in staff positions and growth into leadership positions. HR&amp;SS will support the University’s commitment by engaging military veterans in leadership training in an effort to ensure retention and future success of those employees.</td>
</tr>
</tbody>
</table>
| **Design** | - Encourage all HR&SS employees that are military veterans to self-identify through the VETS100A Survey.  
- Analyze the leadership course attendance of our total population against the attendance of our military veterans.  
- Ensure that the percentage of veterans will meet or exceed that of general HR&SS population taking leadership programs. |
| **Responsibility** | - ODFS will identify appropriate leadership programs in addition to the following:  
  - ODFS to send DIWD HR&SS training database to identify percentage of veterans are registered or attended above trainings.  
  - The Council will provide the identified list to Donna-Marie Parker to work with HR&SS leadership to promote leadership training for veterans. |
| **Measures** | - Compile VETS100A survey for HR&SS and entourage participation  
- The percentage of self-identified HR&SS military veterans that have received or are enrolled in an approved leadership program will meet or exceed that of the general HR&SS populations that have received leadership training. |
| **Outcomes** | - The Vets100A Survey has been completed. An extra effort will be launched to encourage people to report their veteran status as Workday rolls out and people are updating their information.  
- Among the 260 HR&SS staff, there are 13 (5% of all HR&SS staff) self-identified veterans, all (100%) of who have taken at least one leadership opportunity. Comparatively, 227 (87%) of HR&SS Staff have completed at least one leadership opportunity as described in our above strategy. |
| **Future Plans** | **Completed and/or institutionalized** | YES |
| | **Under revision** | NO |
| | **Under replacement** | NO |
| | **Continuing** | NO |
| **Timing** | **Accountability** |
| **Comments/learning:** | Because many veterans do not self-identify, the University estimates the actual number of veterans it employees to be much greater. |
While it appears that HR&SS is doing well in recruiting, developing and retaining veterans, we found that while 100% of our self-identified veterans have leadership training, few have completed recent trainings. We will continue to focus future initiatives on veterans including:

1. Readying the HR&SS workforce on recruiting and employing veterans
2. Identifying a skills conversion tool for veterans
3. Providing management training on:
   a. Valuing transferable skills
   b. Breaking down perceived barriers and dispelling myths
   c. Working with veterans and veterans with disabilities

*Constituent group—name the constituent group from the list of seven constituency areas.
Initiative description—describe this initiative, citing the Core Principle and the relevant Annual Initiative from the Menu of Annual Initiatives.
Rationale—describe the original or current motivation for this initiative.
Design—summarize the steps taken, resources consulted, and process of implementation.
Responsibility—designate the individual or group who has directly performed the work.
Measures—data collected from or about the constituent group, to measure the efficacy of this initiative.
Outcomes—describe results based on data.
Future plans:
   Completed and/or institutionalized — the goal of the initiative is realized and/or the initiative has been adopted as a routine operation of the unit. This initiative will be replaced by a new initiative.
   Under revision — data and review suggest more effective means of realizing this initiative; this initiative will continue in a different form.
   Under replacement — data and review indicate that this initiative will not yield expected results or raises significant challenges; this initiative will be discontinued and replaced.
   Continuing — an ongoing initiative.
Timing—new or continued time frame.
Accountability—identify the unit leader who is ultimately responsible.
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who organizes the unit’s diversity efforts and communicates with the UDC?</td>
<td>Kathy Zoner</td>
</tr>
<tr>
<td>What group of advisors or representatives is consulted and with what frequency?</td>
<td>HR&amp;SS Diversity Council; every two weeks</td>
</tr>
<tr>
<td>How was this group chosen?</td>
<td>Selected by HR&amp;SS leadership</td>
</tr>
<tr>
<td>How are the unit’s diversity activities communicated to its community?</td>
<td>Via e-mail and through HR&amp;SS senior leadership</td>
</tr>
</tbody>
</table>
## Initiative 1: Composition

<table>
<thead>
<tr>
<th>2013-14</th>
<th>Initiative 1: Composition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constituent Group</td>
<td>Staff</td>
</tr>
<tr>
<td>Initiative Description</td>
<td>Continue our efforts to create an inclusive environment and increase diversity within job groups where goals exist.</td>
</tr>
<tr>
<td>Rationale</td>
<td>Our findings from last year’s initiatives to have composition meet or exceed women and URM availability in applicant and interview pools revealed that we must continue our efforts to develop active, consistent and inclusive recruitment plans, search processes and hiring practices.</td>
</tr>
<tr>
<td>Design</td>
<td>HR&amp;SS directors will meet with REC and the HR consultant to do the following: forecast job openings (anticipated several years out); receive training on developing pipelines and implement that training to recruit diverse applicants for those openings; and report out on the results of their efforts. Closing the search if the applicant pool does not meet the affirmative action goals will continue to require the approval of the vice president.</td>
</tr>
</tbody>
</table>
| Responsibility | - First quarter of FY14: HR consultant will have plenary sessions with HR&SS directors to forecast potential job openings for 1 to 3 years out  
- Second quarter of FY14: REC will deliver a presentation for the HR&SS hiring managers, HR consultants, HR assistants and HR&SS leadership on effective development of diverse pipelines  
- Third quarter of FY14: HR&SS directors will submit plans for pipeline development to the VP for HR&SS and the HR consultant and REC Fourth quarter of FY14: HR&SS directors will provide a status update on the development plans including relationships with organizations that they have developed, outreach efforts and future plans. REC will provide directors with a template for easier inclusion in the annual report.  
- HR&SS hiring managers will continue to ensure search plans are created prior to the posting of any position. |
| Measures                                                                 | 95% of HR&SS directors will complete a three year recruitment forecast  
|                                                                        | 95% of HR&SS managers, HR consultant and HR assistants supporting HR&SS will attend a training program on how to develop pipeline relationships effectively  
|                                                                        | 95% of HR&SS directors will submit a pipeline development plan and provide status update for the annual report  
| Timing                                                                 | May 31, 2014                                                                                                           
<p>| Accountability                                                          | HR&amp;SS directors                                                                                                      |</p>
<table>
<thead>
<tr>
<th>2013-14</th>
<th>Initiative 2: Inclusion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constituent Group</td>
<td>Staff</td>
</tr>
<tr>
<td>Initiative Description</td>
<td>Inclusion</td>
</tr>
<tr>
<td></td>
<td>Readying the HR&amp;SS hiring and supervisory staff on recruiting and retaining veterans by identifying veteran skills conversion software or other feasible means of training hiring and supervisory staff to recognize existing skills veterans may have from their military service that are translatable to Cornell workforce needs.</td>
</tr>
<tr>
<td>Rationale</td>
<td>HR&amp;SS is doing well in recruiting, developing and retaining veterans. Through our initiative on identifying leadership training for veterans in 2012-2013, we identified an ongoing need to recognize and increase the skill sets of veterans both already employed and returning to the workplace. We learned that though 100% of our self-identified veterans have leadership training, few veterans have completed more recent trainings. This initiative lays the foundation for supervisors and hiring managers to identify skill sets that veterans bring with them from their military training and employment and convert them to match current or future job growth opportunities.</td>
</tr>
<tr>
<td>Design</td>
<td>We will continue our focus on veterans by identifying toolkits available to identify transferrable skills for possible use in training hiring and supervisory managers. Additionally, we will identify Cornell and local veteran group partnerships such as the Veteran Colleague Network Group (VCNG) to assist us in our efforts.</td>
</tr>
</tbody>
</table>
| Responsibility | • Department of Inclusion and Workforce Diversity (DIWD) and HR consultant will identify and recommend the purchase of skills conversion tools (software)  
• DIWD will identify at least two veteran community groups with which to partner, and incorporate a representative from each group to participate in the search and feasibility study  
• HR&SS will, if necessary, identify funding sources for software purchase |
| Measures | REC, ODFS and Benefits representatives will partner with the identified veteran group representatives to review and evaluate for feasibility skill conversion software.  
• If a toolkit is identified for use, a lesson plan to implement in 2015 will be developed to train HRSS managers  
• Funding to purchase the toolkit and potential partners will be identified |
If a toolkit is not found to be an effective recruitment and development tool, the information developed will be used to develop a best practice approach for recruiting and retaining veterans in 2015.

<table>
<thead>
<tr>
<th>Timing</th>
<th>May 31, 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accountability</td>
<td>REC, DIWD and ODFS directors</td>
</tr>
<tr>
<td>2013-14</td>
<td>Initiative 3: Inclusion</td>
</tr>
<tr>
<td>---------</td>
<td>------------------------</td>
</tr>
<tr>
<td>Constituent Group</td>
<td>Staff</td>
</tr>
</tbody>
</table>
| Initiative Description | Inclusion  
All HR&SS staff will complete two self-selected, diversity-related workshops, events or programs, as determined by Organizational Development for Faculty and Staff (ODFS), in consultation with DIWD. ODFS will create a dynamic program that initiates conversations based on what HR&SS staff have learned this past year and what enables or prevents individuals to feel a part of the organization and the philosophy of Toward New Destinations. |
| Rationale | In order to continue our efforts to increase our diversity competency and our ability to communicate around it, we must commit to continuous learning. To be fully inclusive, we must learn to talk about difficult issues in respectful ways. This is a continuation of Initiative #3 from FY2012. |
| Design | We will continue to educate ourselves by attending training that is enriched with diversity and inclusion and by providing the time, resources and necessary tools for staff to participate. As in FY12, these programs may be selected from a list pre-identified by the HR&SS Diversity Council as diversity-related. Individuals may also consult with HR&SS leadership and/or the council to determine if a program or effort he or she participates in would meet this objective. These sessions will provide baseline diversity knowledge for the organization, providing common language and common practices. Possible sessions include a group discussion of the book “Whistling Vivaldi” and the implications in the workplace. The discussion could take place with other diversity councils across the university. |
| Responsibility | • HR&SS Diversity Council will provide monthly listings of events, workshops and programming to assist units and is available to assist with questions related to applicability of programing  
• HR&SS staff will self-identify two diversity/inclusion programs to attend/participate in  
• HR&SS leadership will track attendance and provide completion reports to ODFS semi-annually  
• ODFS will provide an annual attendance report to the HR&SS Diversity Council, leadership and to the VP of HR&SS. |
| Measures | • 95% of HR&SS staff will complete diversity-related program as |
- ODFS will have a completed program as described above, and a plan for implementing the program in 2015

<table>
<thead>
<tr>
<th>Timing</th>
<th>June 30, 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accountability</td>
<td>HRSS leadership</td>
</tr>
<tr>
<td>2013-14</td>
<td><strong>Initiative 4: Engagement</strong></td>
</tr>
<tr>
<td>----------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>Constituent Group</td>
<td>Staff</td>
</tr>
<tr>
<td>Initiative Description</td>
<td>Collaborate with Division of Financial Affairs and Information Technology Diversity Council to develop a communications strategy including the possible creation of messaging, a webpage, e-newsletter and posters.</td>
</tr>
<tr>
<td>Rationale</td>
<td>Effective communication of resources and events is critical to increasing diversity awareness and cultural competency within HR&amp;SS. Consistent and professional materials will help all community members recognize messaging across HR&amp;SS division. Additionally, the efforts of the HR&amp;SS Diversity Council efforts can be more readily recognized as an impetus to improve the climate, and this will encourage future participation in the HR&amp;SS Diversity Council.</td>
</tr>
<tr>
<td>Design</td>
<td>We will collaborate with other diversity councils to cross-plan and promote diversity workshops and highlight trainings, workshops, campus and community events that promote diversity awareness via HR&amp;SS Diversity messaging, e-newsletter, websites, and other communications channels. We will ensure that the communication strategy efforts are disability accessible wherever possible.</td>
</tr>
<tr>
<td>Responsibility</td>
<td>HR&amp;SS Diversity Council will leverage existing forums and technology in collaboration with HR&amp;SS and other communications personnel.</td>
</tr>
</tbody>
</table>
| Measures | • Develop or partner on an ADA compliant web page to communicate current events, workshops and programs  
• Develop poster/flyer and e-newsletter to market Toward New Destination (TND) and HR&SS Diversity Initiatives  
• Created consistent look and feel for all materials  
• Draft diversity messaging for HR&SS |
<p>| Timing | May 31, 2014 |
| Accountability | HR&amp;SS Diversity Council, DFA/IT Diversity Council |</p>
<table>
<thead>
<tr>
<th><strong>2013-14</strong></th>
<th><strong>Initiative 5: Inclusion</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Constituent Group</td>
<td>Staff</td>
</tr>
<tr>
<td>Initiative Description</td>
<td>Inclusion Educate HR&amp;SS staff on disability as an aspect of inclusion</td>
</tr>
<tr>
<td>Rationale</td>
<td>Integrating disability in the workforce is a rapidly growing concern, and one that is not generally well understood. In order to set an example for the rest of the Cornell University community, we must be a resource to our constituents and stay ahead of trends in employment and education related to inclusive practices around disability.</td>
</tr>
<tr>
<td>Design</td>
<td>Orientation on the Cornell University “Leading in a Disability Inclusive Workforce” toolkit (<a href="http://disabilitytoolkit.edi.cornell.edu/index.cfm">http://disabilitytoolkit.edi.cornell.edu/index.cfm</a>) for managers and supervisors will be provided, using a 30-minute archived webinar in conjunction with a 30 minute live interactive demonstration. Participants will complete several surveys sent by EDI over a 12 month period of time. The resulting reports will measure the impact of the toolkit training.</td>
</tr>
<tr>
<td>Responsibility</td>
<td>Workforce Policy and Labor Relations (WPLR) will work with each group to identify appropriate segments from the toolkit, train managers on their use and assist with implementing them as practice.</td>
</tr>
</tbody>
</table>
| Measures | • Have 95% of HR&SS managers and supervisors view a 30 minute introductory webinar of Dr. Thomas Golden, ILR-EDI, explaining the background and research that created the toolkit (provided by WPLR).  
• Core team members trained to present will lead these same HR&SS managers and supervisors in a one hour session orientation program, post –webinar. As part of the session, participants will complete EDI surveys sent to participants 10 days, 6 months and 12 months following their training. |
| Timing | June 30, 2014 |
| Accountability | Workforce Policy and Labor Relations |