*Confidential*

*DRAFT*

**Impact Statement
for [Proposed/Revised] Policy**: [Policy Name]

Submitted: (Date submitted to EPRG – UPO will complete)

Responsible Executive(s) (Dean or Vice President):

Responsible Office(s):

For all sections below, replace the parenthetical and bulleted text with your content. Additionally, the final page of this document is meant as only a guide, and should not be included in the final impact statement.

1. **Background**

*(The following points are merely guides to assist your drafting)*

* State whether this is a new or updated policy.
* Outline the events or conditions that give rise to this policy. Why this policy is necessary?
* What are the risks of not having this policy, such as citations by regulatory bodies, fines, other costs (be specific)?

# **Policy Statement**

*(The following points are merely guides to assist your drafting)*

* State Cornell University’s commitment to a relevant principle (optional).
* State the requirement(s) of the university community that this policy establishes.
1. **Reason for Policy**

*(The following points are merely guides to assist your drafting)*

* State what legal, regulatory, financial, operational, accreditation, technological, and/or social requirements this policy addresses.
* Identify what advantages this policy will bring to the university.
1. **Overview of Policy Content**

*(The following points are merely guides to assist your drafting)*

* State clearly the problem this policy is targeting.
* At a high level, but precisely, state the way(s) this policy will solve this problem.
* Outline (some of) the procedures this policy requires of the university community that will deliver this solution.
* You may want to indicate, generally, the scope of the policy, e.g., what operational activities of the university will be affected, and what related areas will not be affected.
1. **Consistency with Cornell University’s Mission and Goals, Other Policies, and Related External Documents**

Cite relevant official statements of Cornell’s mission and values, complementary or duplicative Cornell policies, and related external legislation, codes, etc.

1. **Entities, Offices, and Other Cornell Community Members Affected By This Policy**
* Consult with the Weill Cornell Medical College to determine application *(required)*.
* State all entities that apply: Ithaca-based Location, Cornell Tech campus, Weill Cornell Medicine campuses
1. **Impact on the University**

*(The following points are merely guides to assist your drafting)*

* Identify what resources (human, financial, physical, operational, technological, and other) will be needed to implement and maintain conformance with this policy.
* Identify what change to Cornell’s culture and/or behaviors may be involved.
1. **Stakeholders Who Will Be Consulted in Developing This Policy\***

# List the stakeholder university communities most affected by this policy that you will consult in formulating this policy. *\*Consider list of examples on page three*.

# If the Student Assembly, Faculty Assembly, and Faculty Senate are not listed as stakeholders, state the reasoning for this decision, for each group.

1. **Systems Changes Required**

Consider any investment into any new system(s) this policy will require, either within your area of jurisdiction or beyond.

1. **Communications and Training Activities That Will Be Conducted To Build Awareness and Enable Implementation**
2. **Compliance**

Answer the following questions:

* Is there regulatory compliance component? If so, list:
	+ The regulatory body (OSHA, EPA, Federal Sentencing Guidelines, etc.) and
	+ The compliance partner or steward
* Are there procedures associated specifically with compliance? If so, list them or provide an online reference.
* What are the compliance mechanisms existing or to be created?
	+ Does internal audit/external need to audit against this policy and at what frequency? What is the cost associated with the audit?
	+ What are the institutional risk(s) for non-compliance with this policy (university goes into jeopardy, criminal, fines?)
	+ What are the consequences for the individual who does not follow this policy? Should that be codified in the policy?
	+ Are there reporting requirements to government agencies? If yes. at what frequency?
	+ Is there a regulatory compliance time constraint on the issuance of this policy?
1. **Timing Requirements for This Policy**

#### Recommended Stakeholders Checklist

Responsible offices bringing forward new policies are required to consult with stakeholders who are most knowledgeable or who will be most affected by the requirements being established by the policy.  Please list these specialists and groups whose input you will seek in developing the policy.

Depending on the subject matter of your policy, you may consider consulting with the following members of the Cornell University community:

* University Audit
* University Counsel
* Office of Risk Management and Insurance
* University Assemblies
	+ Student Assembly
	+ Employee Assembly
	+ Faculty Senate
* College business officers/business service center directors
* Office of Human Resources
* University Payroll Office
* Weill Cornell Medical College administrators
* Subject matter experts