MEETING MINUTES

Meeting/Project Name: HRPAT

Date of Meeting: 6/18/2008

Time: 4-6pm

Minutes Prepared By: Mary Obermeier

Location: Bobst 1244

1. Meeting Objective

- Review and Discuss Guiding Principles
- Review and Discuss Existing policies

2. Attendance at Meeting

<table>
<thead>
<tr>
<th>Name</th>
<th>Department/Division</th>
</tr>
</thead>
<tbody>
<tr>
<td>Charles Bertolami</td>
<td>David B. Kriser Dental Center</td>
</tr>
<tr>
<td>Lisa Biagas</td>
<td>David B. Kriser Dental Center</td>
</tr>
<tr>
<td>Katie Casey</td>
<td>Executive VP / Human Resources</td>
</tr>
<tr>
<td>Katherine Drummond</td>
<td>Tisch School of the Arts</td>
</tr>
<tr>
<td>Elise Eisenberg</td>
<td>David B. Kriser Dental Center</td>
</tr>
<tr>
<td>Grace Garnice</td>
<td>Stern School of Business</td>
</tr>
<tr>
<td>Jim Hinojosa</td>
<td>Steinhardt School of Culture, Education, &amp; Human Development</td>
</tr>
<tr>
<td>Lisa Waldman</td>
<td>School of Law</td>
</tr>
</tbody>
</table>

3. Discussion Points & Decisions

Below you will find the minutes for the following five topics and subtopics:

Topic #1: Objectives of Meeting ........................................................................................................................2
Topic #2: Review Guiding Principles ..................................................................................................................2
  Sub Topic #1: Guiding Principle #1- Consistency ..............................................................................................2
  Sub Topic #2: Guiding Principle #2- Paperwork Reduction and Approvals ......................................................3
  Sub Topic #3: Guiding Principle #3- Effective Communication of Policies .......................................................3
  Sub Topic #4: Guiding Principle #4- Supporting the University’s Mission ......................................................4
  Sub Topic #5: Guiding Principles #5 & #6 ..........................................................................................................4
  Sub Topic #6: Guiding Principals Next Steps ....................................................................................................4
Topic #3: Review Policy Workbook ....................................................................................................................4
Topic #4: Meeting Schedule ..................................................................................................................................6
Topic #5: Closing .....................................................................................................................................................6

Error! Bookmark not defined.
Topic #1: Objectives of Meeting

- Agree on guiding principles to use in evaluating policies
- Go through existing policies

Topic #2: Review Guiding Principles

Sub Topic #1: Guiding Principle #1 - Consistency

Discussion Points:
- We need to be able to have consistency with flexibility so we could recognize a hierarchy - from least flexible to most flexible - by distinguishing amongst policy, guideline, and procedure.
- Also add transparency of action - policies should match what we do in systems. Electronic record should look like the policy so it is clear when you look back.
- Possibly include some verbiage around US-based operations versus Global operations
  - To the greatest extent possible, provide similar policies and uniform approach across all; however, use flexibility to take into account individual locations.
  - Example of an inconsistency that may apply for US vs Global:
    - The US is the only employer that takes worldwide income into account for tax purposes. Do you get taxed from country that you left? Should we have a tax equalization policy for those who work out of the country?
  - Need to decide if global policies are in or out of scope since how would we delve into the massive amounts of policies this would cover?
  - We could highlight the policies that may impact an audience outside of the US, but not delve into the specifics of those for this.
- Policies, guidelines, and procedures:
  - Should we try and use that here or if not, how would we institutionalize consistency with flexibility?
  - Is there a formal definition of a guideline? If not, can we call it guidance, a suggestion, something you have more latitude with? AMI is a guideline. Rolls up under Comp policy. Then you have the piece that affords the flexibility which is the guideline. Then the procedures are the steps that each department takes to achieve the guideline.
  - Does the school decide the guideline or do the functional departments within HR decide?
Decision(s):
- Unanimous thumbs up from committee to change first part of definition to:
  - Consistency – across and within schools and departments within and outside the United States – to the greatest extent possible while maintaining flexibility to accommodate specialized needs arising from time to time
- Unanimous thumbs up from committee on second part of definition:
  - Seek to achieve both consistency and flexibility by making unambiguous distinctions between policies, guidelines, and procedures

Sub Topic #2: Guiding Principle #2- Paperwork Reduction and Approvals

Discussion Points:
- Need to look at changing policies possibly to eliminate the various levels of approval.
  - Is reviewing approval processes within our scope? Are we planning on taking that on as part of this group? Yes, I don’t see how we couldn’t.
  - Who has the authority to say we don’t need your signature anymore?
  - Concerned that getting into this would be a large scope. Should be part of our report, but should not get into detail of how they should be implemented since we don’t have time for that level of detail.
  - Perhaps could be somewhere in between- With a new policy, Paternity leave for example, ensure that it is not heavy on the paperwork and not many approvals; however we don’t have time to go through all existing policies.
  - Possible guiding principle should be “action” gets approved as close the authorizing unit as possible.
  - This also has a technology piece- having the policies outlined in one place so everyone knows what they are. Also have the signatures and approvals automated.
  - Minimizing signatures doesn’t seem to be at the same level of Consistency as a Guiding Principle. Should be included in the report instead without being one of our five to seven guiding principles.

Decision(s):
- Put it on hold for now

Sub Topic #3: Guiding Principle #3- Effective Communication of Policies

Discussion Points:
- Add "readily accessible"
- What does a designated custodian mean?
  - Designated custodian would be a functional area in Katie’s shop.
    - Examples:
      - Vacation- who owns the policy? HR
      - Sexual Harassment- HR owns the policy- faculty and staff; HR owns the training.
  - Most times there is an originator or responsible office for a policy, is that what is envisioned?
  - There has to be a central repository and ultimate central authorizing entity who knows policies and it’s very clear in everyone’s mind where you go to get clarification.
Is there a notion to have one NYU policy location - Risk Mgmt, HR, ITS, Compliance, etc? Is this a recommendation versus a guiding principle? Do all these policies make sense to all be together? Perhaps there is a broker who can then refer you to the specific areas.

Some policies are endorsed across all, some are not. For instance, a policy that you won’t find on the HR website is early quits on Fridays in the summer. Some schools have that.

- Go to place- would that be a person or an area? Area
- The notion of ownership is very good.
- Does everyone agree that ownership should be centralized? Yes, but policies are often owned by HR, but implemented locally. Policies should be narrowly owned and defined, but broadly/decentrally administered.

Decision(s):
- Katie to work out that bullet.

Sub Topic #4: Guiding Principle #4- Supporting the University’s Mission

Discussion Points:
- Remove the detail of “action codes” to make it more general.

Decision(s):
- Revised bullet:
- 4. Policies and guidelines should match action codes to facilitate an environment that supports faculty and staff and their endeavors in support of the university’s mission

Sub Topic #5: Guiding Principles #5 & #6

Decision(s):
- No changes

- 5. Policies that do not discriminate unfairly against any class of employee and that promote a diverse environment, professional growth, and well-being
- 6. Protect the financial resources of the university, including minimizing litigation and assuring competitiveness with other comparable organizations in the recruitment of faculty and staff

Sub Topic #6: Guiding Principals Next Steps

Action Item(s):
- Katie will update Guiding Principles and send to Charles to forward to committee for final review.

Topic #3: Review Policy Workbook

Discussion Points:
- Is the workbook inclusive of all policies?
- We gave you the policies based on calls into the functional areas that are confusing, inconsistent, game the system, or problematic. Also included are proposed changes, pros/cons of change, and who would be impacted by the change.
We need to review current policies, but also where are the gaps? What policies are we missing?

Good approach, but need to keep in mind that other policies not included may impact these policies as well so we need to make sure we take those into account.

So how do we now do this? How do we go through this? Is the body of info here? Do we call people in? How can we make the recommendation?

Keeping in mind final burden is not on this group, needs to go through a community vetting up to the Core. We need to make sure we have enough information to be able to make solid recommendations to the ULT.

Do we look at this by functional area- it would take us all year- or do we look at the troublesome ones?

Should bring in the Owner of each functional area to walk us through each area. Would help us identify the gaps and help us identify who else we can bring in.

Are these the only 6 functional areas in HR / functional baskets? Yes, but the owner of those buckets for the faculty is Academic Appointments.

We need a way to verify that these are the right policies. Process matters here. It matters and it matters in concert with pacing the change. End of the day you want your process to be unassailable. What constitutes the right process to be unassailable by the community? If people feel like they had input, they are much more open. So what are those inputs?

Should the items in the workbook be reviewed by other HR people in the Schools/Units to identify their policy pain points? Concern that we'll get through all of these policies and then find out from the HR community or the Community at large that these aren't the best ones. Should we survey or have it as a topic at an HRO Meeting? Perhaps have Grace and Katherine and Lisa review with HROs at the meeting and then invite constituency to respond. However, HROs may need time to reflect more before responding at an HRO meeting; so use a survey instead. What do your employees value? Do we find that out now or do we look at that when we get to that part of the workbook?

Need to define constituents that we want to survey. We have a bargaining unit - do we want to survey them? No, cause we can’t change it anyway.

Perhaps we should survey our competitors. We are part of the IvyPlus group- anytime we need benchmarking, we get it within 48 hours. We can send anything out.

Timing of when you telegraph to the community is critical. Without a lot of background information, people jump to resistance. Need to balance need for inclusion without giving opportunity to thwart the process.

For UBATs, there was a monetary lens that was being used to look through. Is there a similar lens that can be looked at for the HR policies?

Is it beneficial to survey at this point or schedule the functional experts to come in and then based on what they say, then schedule the survey to go out. For UBATs- we had Benefits 101 for the first few meetings to teach each other about the benefits. First bring in the HR functional heads and Remedy information, then we ramp up for a survey in the fall.

Katie will book HR subject area experts

Decision(s):

To ensure that the process is unassailable.

To define the scope, need to define how far we will cast the net:

We will talk to HR folks
We will talk to Faculty
We will talk to AMC

Action Item(s):
Hold HR Policy 101 sessions for next few meetings. Katie to bring in HR functional area experts to the July and August meetings to review policies noted in workbook and Remedy information.

Use information from functional experts to craft a survey and/or focused meetings for the HROs/AMC/Faculty Senators council/etc. to get more feedback on other policy gaps/pain points.

Katherine/Lisa/Grace can start to put together a survey-workup baseline questions and then can be modified; Elisa will put the final one together and disseminate in the fall.

Then the committee can define the final scope and the process that will be used to come up with the Recommendations.

**Topic #4: Meeting Schedule**

**Discussion Points:**
- When are we going to set a calendar for the fall?
  - Should we meet more often than once a month? UBATs, we met once over summer, but twice during academic year. We’d also do 2-6 if needed when experts came in.
  - Like idea of twice a month.

**Decision:**
- Twice a month.

**Action Item(s):**
- Katie will send the fall meeting dates out to the committee again.

<table>
<thead>
<tr>
<th>4. Action Items</th>
<th>Owner</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Action</td>
<td>Owner</td>
<td>Due Date</td>
</tr>
<tr>
<td>• Katie will update the Guiding Principles and send to Charles to forward to the committee for final review.</td>
<td>Katie Casey / Charles Bertolami</td>
<td>June 20th</td>
</tr>
<tr>
<td>• Hold HR Policy 101 sessions for next few meetings. Katie to bring in HR functional area experts to the July and August meetings to review policies noted in the workbook and Remedy information.</td>
<td>Katie Casey</td>
<td></td>
</tr>
<tr>
<td>• Use information from functional experts to craft a survey and/or conduct focused meetings for the HROs/AMC/Faculty Senators Council/etc. to get more feedback on other policy gaps/pain points.</td>
<td>Committee</td>
<td></td>
</tr>
<tr>
<td>• Katherine/Lisa/Grace can start to put together a survey-workup baseline questions and then can be modified; Elisa will put the final one together and disseminate in the fall.</td>
<td>Katherine / Lisa / Grace</td>
<td></td>
</tr>
<tr>
<td>• Committee can then define the final scope and the process that will be used to come up with the Recommendations.</td>
<td>Committee</td>
<td></td>
</tr>
<tr>
<td>• Katie will send the fall meeting dates out to the committee again.</td>
<td>Katie Casey</td>
<td>June 20th</td>
</tr>
<tr>
<td>Date:</td>
<td>July 16, 2008</td>
<td>Time:</td>
</tr>
<tr>
<td>-------------</td>
<td>--------------</td>
<td>-------</td>
</tr>
</tbody>
</table>
| Objective:  | Finalize Principles  
             | Outline Scope           
             | Start review of policies with HR functional leaders |

5. Next Meeting (if applicable)