



Compliance *Matters*

Office of the President / Office of Compliance and Risk Management / Office of Equal Opportunity



In This Issue:

Lobbying Compliance at NYU ,
page 1

The New Schools Compliance
Officers Taskforce, page 1

NYU & The Higher Education
Recruitment Consortium, page 2

Compliance Corner, page 4

Interacting with Government Officials:

Lobbying Compliance at NYU by Marie Spears and Jennifer Pautz

In recent years, Federal, State and New York City laws regarding interacting with government agencies and officials -- or lobbying -- have become increasingly stringent and complex. NYU's lobbying policy, "[Interaction with Government Officials](#)," was created to educate the University community and establish rules for members of the NYU community who utilize NYU resources or engage in lobbying activities on behalf of NYU to ensure the University complies with applicable laws.

Any attempt to influence legislation, policy action or government decisions, including attempts to obtain funding or contracts outside of a competitive review process or obtain other government support, is considered a lobbying

activity. Individuals and organizations that engage in lobbying activities are required to report them to government agencies. At NYU, the Office of Government and Community Affairs ("OGCA") is responsible for compiling and reporting NYU's lobbying activities.

As a member of the University community, you are welcome to engage in political activities, including lobbying and endorsing political candidates, on your own time and in a personal capacity, or in connection with groups or organizations outside of the University. If you do, however, it is important to make it clear that your involvement is personal and not as a representative of NYU.

-continued on page 3

Introducing the NYU Schools Compliance Officers

Taskforce by Diane Delaney

In November 2012, the newly formed Schools Compliance Officers Taskforce (SCOT) met for the first time. The creation of the group, made up of representatives from all of NYU's Schools, was part of a natural progression in the maturation of the University's compliance program. The formation of SCOT furthers the goal of bringing together key individuals throughout

the University, where responsibility for compliance activities resides. This process began when, with the approval of University leadership, the Office of Compliance and Risk Management (OCRM), under the direction of Chief Compliance Officer Bob Roach, established the Compliance Officers Working Group (COWG) in October 2009.

-continued on page 3

NYU and the Higher Education Recruitment Consortium by Kelle Colyer-Brown

Since 2006, the acronym “HERC” has been part of the recruitment lexicon amongst HR professionals and hiring managers at NYU, a valuable tool for recruitment and an important part of a recruitment strategy to yield the best and brightest candidates.

NYU was a founding member of the Metro New York & Southern Connecticut chapter of **HERC (Higher Education Recruitment Consortium)** six years ago, and remains actively involved. Comprised of 37 colleges, universities, and teaching hospitals in the region, the Metro New York Consortium is one of 12 under the national HERC umbrella, granting a unique opportunity for jobseekers and trailing spouses to explore employment opportunities amongst partner institutions both locally and nationwide. The benefits of belonging to such a vast and esteemed network are numerous. Abby Wolf, Director of HERC-MNYSC, recently visited NYU to address Human Resources professionals, recruiting managers and search committee leaders. During her visit, Ms. Wolf described the four core program areas in which HERC strives to add value.

Dual Career Resource: The absence of job opportunities for “trailing” spouses and partners is cited as the primary reason that tenure-track applicants decline offers. By accessing the HERC network, recruiters and applicants can reach out to colleagues at partner institutions to facilitate the job search for spouses and partners.

Diversity Recruiting: HERC facilitates outreach efforts to hundreds of diversity organizations annually, including over 350 veterans’ employment groups. These efforts help NYU remain in compliance with Federal mandates for diversity recruitment. Further, hiring departments may be eligible for tax credits towards the employment of veterans or individuals with a disability. Representatives from HERC attend conferences targeting minority jobseekers at institutions of higher education and have formed partnerships with organizations that serve minorities to further increase the visibility of member institutions as quality workplaces.

Professional Development: HERC hosts and sponsors webinars and workshops and has an active LinkedIn presence to facilitate sharing of best practices. Human Resources professionals with Professional in Human Resources (PHR) and Senior Professional in Human Resources (SPHR) certification may participate at no additional cost to earn Human Resources Certification Institute Credits.

Cost Savings: In addition to free webinars and automatic cross-posting of jobs to indeed.com and simplyhired.com, NYU hiring departments are eligible through HERC for discounts of up to 50% at dozens of job boards, including Monster.com. HERC’s OneClick system facilitates posting and a single invoice to hundreds of job boards and publications, saving significant time and money.

For more information about the OneClick system, please visit <http://www.jobtargetoneclick.com/> or ask your Human Resources representative.

Ms. Wolf has offered to create sub-accounts for any NYU school or unit that wants to access the HERC network for faculty recruitment. Six schools have accepted the offer and actively post to the HERC network, creating new pathways to a diverse and talented applicant pool while alleviating burdens on time and budget. The efforts of HERC, in partnership with dedicated and strategic search committees, help NYU grow and maintain the highest quality of faculty and staff.

Kelle Colyer-Brown is the Equal Opportunity Specialist in the Office of Equal Opportunity

If you would like to learn more about HERC, the Office of Equal Opportunity, or resources available for recruitment, please contact the OEO at 212-998-2375 or visit us online at Equal.Oppportunity@nyu.edu



Lobbying Compliance at NYU (continued from page 1)

You may not contribute NYU funds to political campaigns or use NYU resources to hold a political event or publish materials supporting a candidate or party.

Faculty are permitted (and in fact encouraged) to provide policy expertise and testimony to government officials, and to contact program and grant officers to discuss government funding that was awarded through a competitive review process. The NYU lobbying policy does not require that OGCA be contacted prior to this type of interaction. Before inviting a government official or candidate to campus, or making a gift to a government official (even if that “gift” is just buying a meal), it is important that you consult with OGCA.

You should also contact OGCA before contacting government officials or their staff on behalf of NYU about legislation, regulations, government funding or an executive action, or if you are approached by a government official or candidate about visiting campus or using space on campus. For more information or questions, contact the Office of Government and Community Affairs at 212-998-2400 or visit our website at: <http://www.nyu.edu/community/government-affairs.html>.

Marie Spears is Administrative Manager and Jennifer Pautz is Senior Policy Analyst in the Office of Government Community Affairs

The New NYU Schools Compliance Officers Taskforce (continued from page 1)

The COWG members were drawn from all of the University’s administrative units, including administrators from the Provost’s office; they provide leadership in their areas of expertise and are responsible for key compliance activities. The mission of the COWG -- to promote a culture of compliance with laws, regulations and University policies, and to facilitate communication and coordination of compliance activities across administrative offices -- proved to be popular and successful. The group, which started with fewer than 10 members, attracted additional members and has grown to 28 members representing a cross-section of University administrative functions.

The SCOT will provide a forum for members to: discuss compliance issues and best practices; share information about new regulatory requirements, emerging areas of compliance risks, and recommended methods for addressing them; promote effective communication among the Schools and the University’s administrative officers about compliance; elevate awareness of the University’s Code of Ethical Conduct and of University and School policies; and provide a mechanism for supporting Schools’ compliance efforts in New York and throughout the Global Network University.

The Schools Compliance Officers Taskforce will meet periodically throughout the year. The initial focus will be to increase communication and collaborative compliance efforts between the Schools and administrative units. The OCRM will facilitate these meetings to help ensure that the University has a coordinated and effective system-wide compliance program.

To find out more about the University’s Compliance Program and current list of SCOT members, click on the link for more information <http://www.nyu.edu/about/policies-guidelines-compliance/compliance.html>.

Diane Delaney is the Assistant Compliance Officer in the Office of Compliance and Risk Management



Compliance Corner

From time to time, the Office of Compliance and Risk Management receives questions from the NYU Community. Here are some of the general questions we receive concerning compliance:

What is compliance?

In simple terms, compliance is *knowing* what to do and *doing* what is right. Because NYU operates in a complex regulatory environment, compliance is simply good management.

What are the benefits of a Compliance Program?

A comprehensive compliance program helps institutions and their employees conduct operations and activities ethically, with the highest level of integrity, and in compliance with legal and regulatory requirements. One goal of NYU's compliance program is to build on the shared values of the University Community, so we do what is ethically correct even if it is not required by a specific law or regulation. Through shared values, we can integrate compliance into daily business processes and communicate instances of non-compliance to appropriate officials.

Who do I contact about compliance issues?

You can contact the Office of Compliance and Risk Management. The mission of our Office is to serve the University community by helping to identify and implement "Best Practices" so that the University's goal of excellence in education and research may be more easily and effectively achieved. We offer consultation in identifying and resolving concerns about the adequacy of internal system controls, compliance processes, and ethical issues such as conflicts of interest to units and programs around the University. We serve the NYU community by answering questions, responding to concerns and providing support to faculty, staff, and administration.

You can email the Office of Compliance and Risk Management at NYUCompliance@nyu.edu with any questions you may have, or call us at 212-998-2075.

Compliance Matters is a newsletter published by the Office the President. *Compliance Matters* is issued three times a year and provides updates about important compliance, risk management, equal employment opportunity, and disability issues.

The editors of *Compliance Matters* welcome ideas for articles in future issues. Please send your ideas or submissions to Deputy Chief Compliance Officer Rebecca Holland at rebecca.holland@nyu.edu, or to Assistant Compliance Officer Diane Delaney at diane.delaney@nyu.edu.

Previous issues can be found by visiting the [Office of Compliance and Risk Management Services](#) page or by [clicking here](#).

*Enjoy the Holiday
Season!*