



Compliance Matters

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



Re-Shaping Public Safety Across NYU's Global Network *by Randy Stephan, Vice President, Global Safety*

To most members of the NYU community, the uniformed Security Officers who manage access to buildings and patrol the Washington Square campus are the face of NYU's Department of Public Safety. While that perception is accurate and well-deserved, those familiar faces are one part of an emerging team that is seeking to provide the best safety and security possible for our students, faculty, staff and communities throughout NYU's global network. We aspire to build the best security program in higher education because our community deserves nothing less.

Strategy

The launch of global campuses in Abu Dhabi and Shanghai and the expansion of academic centers on six continents created opportunities to leverage Public Safety resources for greater benefit.

To advance this effort, the Public Safety team introduced a risk-based approach to assess the needs of all NYU locations. Working with our partners throughout the NYU community, Public Safety will conduct tailored security risk assessments to evaluate the physical layout, technology, staffing, and processes of various business units.

The goal of the risk assessments is to synchronize and coordinate technology, processes and people to create the safest environment possible. Security assessments will culminate in detailed recommendations to mitigate risks, prevent crime, and enhance security. The starting point for assessments is to prioritize sites, with the understanding that we have the capacity to complete an estimated 15 assessments per year.

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NYU Abu Dhabi Corner

Greetings from NYU Abu Dhabi!

The Office of Compliance and Risk Management (OCRM) at NYU Abu Dhabi is excited to be part of NYU's global commitment to compliance and risk management.

NYU Abu Dhabi's dedicated staff includes **Erum Raza**, Associate Compliance and Risk Management Officer; **Chetna Koshy**, Assistant Compliance and Risk Management Officer; **Charity Abdi**, Assistant Compliance and Contracts Officer;

Omer Saleem Ahmed, Enterprise Risk Manager; and **Liza Manougian**, Compliance and Risk Management Coordinator.

OCRM facilitates compliance and risk management services for all staff, faculty and students through our integrated Compliance and Risk Management Program.

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While each NYU global location has its own specific security needs and concerns, it is important to establish an underlying standard of safety/security design and rationalization that aligns with the University's duty of care and mitigates reasonably foreseeable risks. Our team aspires to be guided by a goal to create, maintain or enhance the student experience at every opportunity.

Continuous Improvement

We are driven to continuously improve. While our strategy is to deter and mitigate risks that *might happen*, our daily operations are oriented to learn from incidents that *do happen*. At every opportunity, we compare what happened with what was supposed to happen and we identify what we'll do differently next time.

This approach results in recognition of when we need to revise policies, reorient our training, improve processes and communication, and obtain needed equipment or resources. We invite you to help us improve by submitting any compliments, questions, complaints or ideas you have [here](#).

Balance Between People and Mission

Our approach is driven by our desire to be effective. We aspire to build our team through balancing *mission* and *people*. To be sustainable, we rely on a highly engaged team that develops core competencies while delivering exceptional service in a fiscally responsible way. Our approach is also shaped by carefully and responsibly balancing security with openness and accessibility.

Services

One visible change at Washington Square was the Spring 2014 opening of the new Public Safety Command Center at 7 Washington Place. In addition to responding to reported crimes and other incidents from the NYU community, the Command Center team liaises with local law enforcement, monitors global events, provides weather advisories, and issues emergency notifications/alerts when needed. Over time, the capability of the facility and the team will be built to enable full functionality as a Global Security Operations Center.

Other long-standing Public Safety services include: Security and Investigations; Victim Liaison Services; Special Events Support; Badges and IDs; Lost and Found; Crime Prevention; Security Awareness and Education; NYU Traveler; and Security Risk Assessments.

NYU's Public Safety Team

Since fall 2013, there have been significant changes in the Public Safety team. This next section is intended to help you recognize who we are and the roles we fill in an effort to ensure your security and transportation needs are met. Our Frontline Team is comprised of 300+ Security Officers who are the face of Public Safety

Our [24x7 Command Center](#) leadership consists of: **Shift Managers** Kevin Hurley, Tom Schindler, and Ron Songen; **Special Support Manager** Dave Critides; **Senior Supervisor** Shanelle Pendergrass; and **Supervisors** Gary Gross, Joe Lieb, and Jerome Williams.

The **Public Safety staff** includes Karen Ortman, Assistant Director for Policies and Training Development with additional duties as Special Victims Liaison; Juan Tie, Crime Prevention Manager; Michael Courtner, Training Manager; and Greg Rivas, Transportation Manager.



The Public Safety **Leadership Team** includes:

Gary Leist, Senior Director for Campus Safety. Gary is responsible for providing leadership, direction and support for the Campus Safety team. Gary joined NYU in August 2014 after a 26-year career in the U.S. Air Force. He most recently served as the Superintendent of Security, Logistics and Mission Support for the Eighth Air Force in Louisiana. Gary can be reached at 212-992-7724, or gary.leist@nyu.edu.

Alexis Roberts, Senior Director for Site Strategies. Alexis is responsible for risk assessments of NYU facilities world-wide, developing security technology design standards, and effectively integrating Technology with People and Process. She came to NYU in July 2014 from TIAA-CREF, where she served as Vice President for Corporate Security, Safety and Travel. Alexis can be reached at 212-998-1387, or alexis.roberts@nyu.edu.

Rebecca Holland, Assistant Vice President for Global Standards and Compliance. Rebecca came to NYU in 2007 as part of the Compliance and Risk Management Office and joined the Public Safety team in January 2014. Prior to working at NYU, Rebecca was Inspector General for the Public Assistance and Grants Unit at the New York City Department of Investigations. Her portfolio includes developing Public Safety policies and procedures, regulatory compliance, training, and crime prevention. Rebecca can be reached at 212-998-2753, or rebecca.holland@nyu.edu.

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Candace McLaren, Assistant Vice President for Investigative Services.

Candace plays a critical role in fusing the functions of investigations, risk assessments, and technology integration to create the best synergies possible. Candace came to NYU in July 2014 after spending seven years as the Director of the New York City Department of Education's Office of Special Investigations. She previously served as an Assistant District Attorney in the New York County District Attorney's Office. Candace can be reached at 212-998-2227, or candace.mclaren@nyu.edu.

Jim Pisaniello, Assistant Vice President for Campus Safety.

Jim's career spans 20 years in the New York Police Department where he rose to the rank of Captain. He joined NYU in April 2014 after nearly ten years with the New York Public Library, most recently as Vice President for Facility

Center Operations and Security. Jim is responsible for the uniformed force of over 340 officers and Command Center operations at NYU and can be reached at 212-998-1347, or james.pisaniello@nyu.edu.

Karen Gulino, Associate Vice President for Global Public Safety.

Karen is a civil engineer who served as Senior Project Manager in NYU's Office of Construction Management from 2006 to 2010. More recently, Karen was the department head for Faculty Housing and Residential Services. In her new role, Karen's areas of responsibilities within Public Safety are focused on the management of client relationships, staffing, finances and process improvement. Karen can be reached at 212-998-1294, or karen.gulino@nyu.edu.

Randy Stephan, Vice President, Global Safety. I have the privilege and honor of serving as Vice President for Global Security & Crisis Management and being a part of an exceptional team of

professionals dedicated to the safety and security of the NYU Community.

I joined NYU in January 2014 after leading the security team for the Cleveland Clinic Health System and serving in a variety of command and staff assignments during a 20-year military career. I can be reached at 212-998-1409, or randy.stephan@nyu.edu.

In Case of a Campus Emergency

If you require immediate assistance for a medical emergency or you observe/are the victim of a crime, call **911**. The emergency telephone number for the NYU Public Safety Command Center is: **212-998-2222**.

For information regarding the NYU ID Card, please call 212-443-CARD (2273).

[Click Here for a Message from NYU's Public Safety Team](#)

NYU Shanghai's New Director of Compliance and Risk Management

Jean Wu, the new Director of Compliance and Risk Management, will be responsible for developing and implementing compliance and risk management programs for [NYU Shanghai](#). Jean will collaborate with NYU Shanghai academic and operational departments and with NYU counterparts in New York. Together they will ensure that operational and business practices are compliant with NYU Shanghai policies and Chinese legal and regulatory requirements, where applicable.

Jean will also play a key role in the recently created NYU Shanghai Compliance and Risk Committee and lead the Committee's training programs.

Prior to joining NYU, Jean supervised several legal and compliance departments for multinational

corporations, including Sigma Elevator and Staples in China. She also worked as Legal Consultant for several international law firms in China such as Kaye Scholer, LLP and Perkins Coie LLP, providing counsel and advice to multinational companies in various industries on both legal and compliance matters.

Jean graduated from the Law School of Tsinghua University with a Master's Degree in International Law in 2007 and also obtained a Legal Master Certificate in Law and Business from the Law School of Vanderbilt University in 2012. She graduated from Hefei Normal Institute in 2001 with a Bachelor's Degree in English Language and Literature.

Jean can be reached at qw9@nyu.edu
Phone 2059-5255
NYU Shanghai Pudong Campus, Room 1427



NYU Abu Dhabi *cont'd from page 1*

NYU Abu Dhabi Compliance Program

The Compliance Program promotes a culture of compliance, integrity and ethics at NYU Abu Dhabi and throughout the global network. NYU Abu Dhabi coordinates and facilitates activities and provides services that project a proactive attitude towards compliance with U.A.E. and U.S. laws and regulations, as well as University policies.

Compliance services encompass various substantive and functional areas from data privacy, environmental health and safety, export controls and trade sanctions compliance, Title IX compliance, research compliance, contract compliance, and supplier compliance with NYU Abu Dhabi Statement of Labor Values and Supplier Code of Conduct.

OCRM also facilitates compliance by conducting awareness programs on various topics, providing compliance guidance regarding policies, playing a role in the policy development process, conducting compliance monitoring, and occasional internal investigations.

Enterprise Risk Management Program

The Enterprise Risk Management (ERM) Program aims to embed risk management into the cultural fabric of NYU Abu Dhabi in order to minimize the downside of risk and maximize

opportunity in pursuit of NYU Abu Dhabi's objectives.

OCRM's ERM-related services include:

- Conducting training workshops and one-on-one meetings to identify, assess, evaluate and treat institutional and unit level risks;
- Ensuring approved risk mitigation plans are implemented and monitored in an efficient and effective manner;
- Institutionalizing a robust ERM Program by embedding ERM into policy development, strategic planning and review, and change management processes.

If you are working in or with the NYU Abu Dhabi campus, please feel free to reach out to our office at any time. We are located in the Saadiyat Campus Center building (C2), west side, ground level.

For all Compliance related queries and feedback please send us an email at nyuad.compliance@nyu.edu. To make an anonymous compliance report by telephone, first dial "8000-021", and once prompted, dial 877-360-7626.

To make a report from any NYU global location, please use the Anonymous Compliance and Risk Reporting Line via the web at nyu.edu/reportingline. All reports will be handled by the appropriate University officials as promptly and discreetly as possible. For all ERM related queries and feedback please send us an email at nyuad.risk@nyu.edu.

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Compliance and Risk Activities

- Conduct monthly Code of Ethical Conduct and Conflict of Interest awareness sessions for staff.
- Conduct compliance training in the areas of export controls and trade sanctions compliance.
- Chair meetings of Compliance and Risk Management Officers Working Group.
- Conduct ERM risk assessment workshops to identify key risks facing NYU Abu Dhabi.
- Host small group and town hall meetings with the NYU Abu Dhabi staff, faculty and students on labor compliance.
- Participate in the Labor Compliance Working Group with Tamkeen, NYU Abu Dhabi's government partner, to promote transparency and high standards in labor compliance.

Please [click here](#) for more information on OCRM's compliance efforts.

Welcome the Newest Member to the Office of Insurance and Enterprise Risk Management

Jessica Wasserman is the Senior Enterprise Risk Management Analyst in the Office of Insurance and Enterprise Risk Management (ERM). Jessica's role is to assist with the facilitation of the roll out and management of NYU's Enterprise Risk Management program across all functions, schools, and campuses. This includes assisting risk owners in the identification and analysis of risks as well as relevant mitigation activities. Jessica also conducts training for present and future risk owners.

Prior to joining NYU, Jessica worked as a Risk Consultant for PricewaterhouseCoopers (PwC) Advisory Practice. Jessica acquired additional experience in the areas of Compliance, Supply Chain Management, Corporate Finance and Accounting through former roles at Siemens Energy, Inc. and Walt Disney World Resorts. Jessica can be reached via phone at 212-992-8279 or by email at jessica.wasserman@nyu.edu.

Welcome the Newest Member to the Office of Compliance and Risk Management Team

Emily Steed is the new Senior Associate Compliance Officer in the Office of Compliance and Risk Management. Emily is a lawyer who brings over 15 years of experience collaborating with risk owners to improve the effectiveness of compliance processes, including strengthening internal controls. Emily also provides advice on responding to ethical issues and develops interactive training programs. Emily facilitates projects to support risk owners to improve the alignment between regulatory expectations and compliance processes that prevent and detect fraud and misconduct.

As a former SEC Senior Enforcement Counsel who prosecuted violations of federal securities laws, Emily brings the ability to understand regulatory expectations. Having helped global organizations respond to regulatory developments and suspected fraud as a Regulatory Compliance Director with KPMG Forensic, Emily is also sensitive to the challenges faced by risk owners. Emily brings compliance "lessons learned" working with both state and city government and at a complex federally-funded non-profit organization.

Select expertise includes: conflicts of interest, financial and business integrity issues, misuse of assets, funding transparency, tracking corrective actions, kickbacks, anti-bribery, gifts & entertainment, expense reimbursement, due diligence, information barriers, disclosure, cost accounting, time reporting. Emily earned a Masters in Law (LL.M.) and a Bachelor of Arts degree (graduating with distinction) from the University of Toronto (where she lived for many years) and a JD from Queen's University in Canada. Emily can be reached at 212-998-6835, or by email at emily.steed@nyu.edu.

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

*We welcome feedback and suggestions for articles in future issues from the NYU community. Please send your ideas or submissions to Assistant Compliance Officer Diane Delaney at diane.delaney@nyu.edu. Previous issues of *Compliance Matters* can be found by visiting the Office of Compliance and Risk Management Services webpage or by [clicking here](#).*

Policy Post

Policy Post is a new addition to the Compliance *Matters* newsletter that brings awareness to the NYU community about new and updated university-wide policies and guidelines. Each newsletter will cover any significant new and revised University policies.

The University recently adopted a new [Sexual Misconduct, Relationship Violence, and Stalking Policy](#). The new policy applies to students, faculty, administrators, staff, and third parties at NYU's campuses in New York, Abu Dhabi, and Shanghai, as well as all our global sites. This policy replaces the Sexual Assault, Harassment, and Other Forms of Sexual Misconduct Policy. Among the most noteworthy changes that result from the new policy are:

- ✓ A clearer definition of "consent";
- ✓ Clear processes for how to proceed when those involved are students, employees, or third-parties (such as vendors);
- ✓ Streamlining of processes, with all investigations overseen by the [Office of Equal Opportunity](#), and all adjudications against students conducted by specially-trained personnel selected by the University's [Office of Community Standards](#); and
- ✓ The establishment of a new [Center for Sexual Misconduct Support Services](#) to provide a complainant (the person who asserts sexual misconduct) with a single, confidential, supportive point-of-contact that connects him or her to an array of services – the University is in the process of hiring a director with expertise in this area.

The [Compliance Complaint Policy](#) has been revised in accordance with a recent New York State law called the Nonprofit Revitalization Act. This policy provides a process for employees to report in good faith suspected wrongdoing, such as noncompliance with NYU's [Code of Ethical Conduct](#). It also sets forth NYU's commitment to protect persons who make such reports from retaliation. Please visit nyu.edu/policies to access all University policies and guidelines.

The [Office of Compliance and Risk Management](#) can help you with your policy questions, assist you with policy development, and add your policy to the [Policies and Guidelines database](#). For more information, please email Assistant Compliance Officer Diane Delaney at diane.delaney@nyu.edu.