

**NEW YORK UNIVERSITY**  
**OFFICE OF COMPLIANCE AND RISK MANAGEMENT**  
**MISSION STATEMENT**

The mission of the Office of Compliance and Risk Management is to assist New York University, as an international center of scholarship, teaching and research, to carry out its academic mission with integrity and in accordance with the University's legal, regulatory and ethical responsibilities.

The responsibilities of the Office of Compliance and Risk Management include:

- In conjunction with the University Compliance Officers Working Group, providing the University Compliance Steering Committee with a comprehensive view of the University's compliance activities;
- Coordinating the activities of the University's administrative units that have the primary responsibility for compliance;
- Advising the University's administrative and academic units on compliance matters;
- Promoting communication and coordination regarding compliance and risk management throughout the University;
- Conducting ongoing compliance monitoring and investigations, when requested by the UCSC, a Compliance Officer or the Office of General Counsel;
- Working with Compliance Officers to ensure that identified compliance deficiencies are corrected; and
- In collaboration with the University's Compliance Officers reporting on compliance and risk management matters to the Audit and Compliance Committee of the Board of Trustees.