



Faculty Senate Executive Committee
Monday, November 13, 2017
2:00p.m. – 4:00 p.m., Adelbert Hall, Room M2

2:00 p.m.	Approval of Minutes from the October 10, 2017, Executive Committee Meeting, <i>attachment</i>	Juscelino Colares
2:05 p.m.	President and Provost’s Announcements	Barbara Snyder Bud Baeslack
2:10 p.m.	Chair’s Announcements	Juscelino Colares
2:15 p.m.	FSCUL Comprehensive External Review of Libraries- Exemption for SOM Library, <i>attachment</i>	Paul Iversen
2:25 p.m.	Graduate Studies Committee: MA in Financial Integrity- Proposal for New Off – Campus Locations, <i>attachment</i>	Bob Strassfeld
2:35 p.m.	Proposed Revisions to CSE By-Laws, <i>attachment</i>	Ken Ledford Vikas Prakash
2:45 p.m.	Honorary Degree Nominations, <i>attachment</i>	Bud Baeslack
2:55 p.m.	Recommendations from Senate Personnel Committee on Faculty Credentials Policy, <i>attachment</i>	Christine Cano
3:00 p.m.	Faculty Participation on Administration Sexual Misconduct Policy Review Committee	Juscelino Colares
3:05 p.m.	Graduate Studies Committee: Graduate Certificate in Health Informatics, <i>attachment</i>	Mendel Singer
3:10 p.m.	Graduate Studies Committee: Degree Name Change- MA in Bioethics to MA in Bioethics and Medical Humanities, <i>attachment</i>	Eileen Anderson-Fye
3:15 p.m.	Graduate Student Council “Charlottesville” Resolution, <i>attachment</i>	Juscelino Colares
3:25 p.m.	Discussion of Faculty Senate Endorsement of Resolutions from Non-Faculty Groups	Juscelino Colares
3:35 p.m.	2015 Charge from Senate to Personnel Committee to Monitor Percentage of Tenure-Track to Non-Tenure Track Faculty in Constituent Faculties, <i>attachment</i>	Juscelino Colares
3:40 p.m.	CUE Update, <i>attachment</i>	Kimberly Emmons
3:50 p.m.	Report from SON Representative	Evelyn Duffy
3:55 p.m.	Approval of Faculty Senate Agenda, <i>attachment</i>	Juscelino Colares

**Faculty Senate Executive Committee
Minutes of the November 13, 2017 Meeting
Adelbert Hall, Room M2**

Committee Members in Attendance

Barbara Snyder, President
Bud Baeslack, Provost
Juscelino Colares, LAW, chair
Peter Harte, SOM, past chair
Cynthia Beall, CAS, vice chair
Leon Blazey, WSOM
Kimberly Emmons, CAS
David Miller, MSASS
Evelyn Duffy, SON
Jo Ann Wise, SOM
Ibrahim Tulunoglu, SODM
Robert Strassfeld, LAW

Others Present:

Christine Cano, chair, Personnel Committee
Gary Chottiner, chair, FSCUE
Steve Hauck, chair, FSCICT
Kenneth Ledford, chair, By-Laws Committee
Maureen McEnery, chair, Nominating Committee
Paul Iversen, chair, FSCUL

Absent:

Roger Quinn, CSE

Guests:

Mark Aulisio
Mendel Singer

Call to Order

Professor Juscelino Colares, chair, Faculty Senate, called the meeting to order at 2:00 p.m.

Approval of Minutes

The minutes of the October 10, 2017 meeting of the Faculty Senate Executive Committee were reviewed and approved with one abstention. *Attachment*

President's Announcements

The President reported that there have been recent robberies on the northeast side of campus, and she has been talking with the schools about safety issues. The President reminded Executive

Committee members to give up their property during a robbery. Students are encouraged not to talk on the phone or text while they are walking on campus.

Provost's Announcements

The Provost had no announcements.

Chair's Announcements

Prof. Colares encouraged standing committee chairs to keep attendance at their meetings and to take action if a committee member is repeatedly missing meetings.

FSCUL Comprehensive External Review of Libraries-Exemption for SOM Library

Prof. Colares reported that last year the Faculty Senate endorsed a plan from the Senate Committee on University Libraries (FSCUL) for a comprehensive external review of CWRU Libraries. The President recently sent a letter to Paul Iversen, chair of FSCUL, requesting that the Health Sciences and Allen Memorial Libraries be exempt from this review. The reason for the request is that the university and the Cleveland Clinic are still working on how to structure library resources that exist in both institutions. Professor Iversen said that he will defer to the administration on this issue, and will inform his committee members. In response to a concern that exempting the CWRU libraries could affect faculty from other schools that use the materials, the President suggested that after the first of the year there be a discussion with the head of the CWRU libraries about this issue. *Attachment*

Master of Arts in Financial Integrity- Proposal for New Off-Campus Location

Professor Robert Strassfeld, LAW, presented a proposal to teach the Master of Arts in Financial Integrity in several new off-campus locations. The original proposal, which had been approved by the Senate in 2013, had anticipated that the program would be offered in a number of financial markets around the country and abroad, but now that many of these locations are known, they would like Senate approval for the specific sites in case any issues arise. The Executive Committee voted to include the proposal for the off-campus locations on the agenda for the Faculty Senate meeting. *Attachment*

Proposed Revisions to CSE By-Laws

Professor Ken Ledford, chair of the Senate By-Laws Committee, presented proposed revisions to the School of Engineering By-Laws. Prof. Ledford said that the By-Laws Committee voted to approve the proposed revisions, but noted that during its review, the Committee made two observations regarding items that were not among the proposed amendments, but merit review by the Engineering By-Laws Committee:

1. In addition to its constituent departments, the CSE By-Laws also refer to the "Division of Education and Student Programs", which is described as being eligible to receive primary faculty appointments. Unless it has been granted departmental status, this would appear to be in conflict with the Faculty Handbook (Chapter 2, Article VII, Sec. B, Par. 1), which establishes that, in schools organized into departments, the department shall be their basic unit of organization, and each faculty member shall normally have an appointment in a department

2. Within the CSE, full-time non-tenure track faculty are not permitted to vote on promotion decisions for other non-tenure track faculty. While this is not required under the Faculty Handbook, it is common practice among the college/schools. The CSE confirmed that this decision had been made intentionally.

A member of the Executive Committee asked Prof. Ledford to confirm that the Committee's decision not to consider the validity of the existing provision for faculty appointments in the CSE Division does not constitute an implicit approval of this. Professor Ledford indicated that such an appointment would only be compatible with the Faculty Handbook if the faculty member already had a primary appointment in a department. A member of the Committee said that the name of the CSE Division had been changed but that this was not reflected in the By-Laws. It was also pointed out that the CSE representative to the Senate Executive Committee was not in attendance at the meeting, and it would be best for him to weigh in on the discussion. The Executive Committee voted to include the proposed revisions on the Faculty Senate agenda. *Attachment*

Honorary Degree Nominations

The Provost presented seven honorary degree nominations that were approved by the Executive Committee. The names of the nominees will be forwarded to the President for recommendation to the CWRU Board of Trustees. The nominees' names remain confidential until such time as they are awarded.

Recommendations from Senate Personnel Committee on Faculty Credentials Policy

Professor Christine Cano, chair of the Faculty Personnel Committee, presented revisions to the Faculty Credentials Policy. The Personnel Committee had been asked to consider several issues that arose during the discussion of the policy at the October 10th Executive Committee meeting. The recommendations from the Personnel Committee incorporated one of the suggested additions, which was to exempt tenure/tenure-track faculty teaching in their primary, secondary and joint appointments from the requirements of the policy. After further discussion, the Executive Committee voted to include the policy on the agenda for the Faculty Senate meeting (6 in favor, 1 against, and 1 abstention). *Attachment*

Faculty Participation on Administration Sexual Misconduct Policy Review Committee

Prof. Colares reported that the Title IX office is convening a committee to review the university's Sexual Misconduct Policy. The committee will include faculty, staff and students. Darnell Parker, Associate Vice President for Student Affairs, has requested three faculty members for this committee. Prof. Colares suggested that the Executive Committee representatives seek volunteers from their schools and report the names to him by the December Executive Committee meeting. Prof. Colares also suggested that one of the volunteers be from the Law School.

Graduate Certificate in Health Informatics

Professor Mendel Singer presented the Graduate Certificate in Health Informatics from the SOM. He reported that there is an increased need for people with expertise in this area. This is a 12-15 credit hour certificate and is a collaboration among CWRU schools and affiliated institutions. Credits may be

applied to the MS program in Biomedical and Health Informatics that should be approved by the Senate next month. The Executive Committee voted to include the proposed graduate certificate on the Faculty Senate agenda. *Attachment*

Degree Name Change- Master of Arts in Bioethics to Master of Arts in Bioethics and Medical Humanities

Professor Mark Aulizio, SOM, presented a proposal to change the name of the Master of Arts in Bioethics to the Master of Arts in Bioethics and Medical Humanities to better reflect the content of the degree program. The Executive Committee voted to include the proposed name change on the Faculty Senate agenda. *Attachment*

Graduate Student Council “Charlottesville” Resolution

Prof. Colares reported that the Graduate Student Council has requested that the Faculty Senate endorse its “Charlottesville” Resolution denouncing and condemning all acts of racism, violence and bigotry, including those that occurred during the August 12, 2017 Charlottesville, Virginia demonstrations. The Executive Committee voted (with one abstention) to include this matter on the Faculty Senate agenda. *Attachment*

Discussion of Faculty Senate Endorsement of Resolutions from Non-Faculty Groups

The Executive Committee discussed how it might consider future requests from student groups for Faculty Senate endorsements. Suggestions included asking the appropriate standing committee to consider the request and make a recommendation to the Executive Committee, and considering requests for endorsements only from those student groups represented in the Faculty Senate.

Monitoring Percentage of Non-Tenure Track to Tenure-Track Faculty in Constituent Faculties

In the spring of 2015, an ad hoc Committee chaired by Professor Sandy Russ was convened to consider several issues relating to tenure and non-tenure track faculty. One of the recommendations from this Committee was for the Committee on Faculty Personnel to monitor the required percentage of tenure-track to non-tenure track faculty in constituent faculties. Due to the turnover of chairs on the Personnel Committee at that time, this topic was never discussed. The Executive Committee voted to charge the Personnel Committee with the preparation of a report on whether the schools are complaint with this Faculty Handbook requirement. *Attachment*

CUE Update

Professor Kimberly Emmons, chair of the CUE, reported that FSCUE has sent requests to the undergraduate and professionals schools for feedback on CUE’s recommendations. The deadline for this feedback is January 30th, 2018. Any suggestions or comments may also be sent directly to Prof. Emmons.

Report from SON Representative

This presentation was canceled due to insufficient time.

Approval of Faculty Senate Meeting Agenda

The Executive Committee approved the agenda for the November 28th Faculty Senate meeting with several changes. *Attachment*

The meeting was adjourned at 4:15 pm.

DRAFT



CASE WESTERN RESERVE
UNIVERSITY EST. 1826

Barbara R. Snyder
President

November 7, 2017

Visitors and Deliveries
Adelbert Hall, Room 216

Paul Iversen, PhD
Chair, Faculty Senate Committee on University Libraries
Associate Professor, Department of Classics
College of Arts and Sciences
Case Western Reserve University
Cleveland, OH 44106

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Dear Paul:

I first want to thank you and the other members of the Faculty Senate Committee on University Libraries (FSCUL) for your thoughtful consideration of the future of Case Western Reserve's library system. I greatly appreciate the time and attention you are giving to one of the university's most important resources.

Second, I want to address a specific aspect of your committee's statement regarding an external review of our libraries. As you know, I support such an assessment; in an era when accelerating technology advancements continue to open new avenues to access resources, it is critical that we understand the status of our current offerings as well as emerging opportunities to serve faculty, staff and students as effectively as possible.

That said, I do not believe this review should include the Health Sciences Library and Allen Memorial Library at this time. The university is still working with Cleveland Clinic regarding how we will structure library resources for the Health Education Campus now under construction. These conversations involve both the holdings and services of libraries that Case Western Reserve operates, as well as those of Cleveland Clinic's own library. Given their transitional stage, a review of these elements of our system does not reflect a wise or effective use of university time or resources.

Again, I thank you and all the members of FSCUL for your dedication to our libraries.

Sincerely,

A handwritten signature in blue ink that reads "Barbara".

Barbara R. Snyder
President

cc: W.A. "Bud" Baeslack III, Provost and Executive Vice President

BRS/kb:jcv



SCHOOL OF LAW

CASE WESTERN RESERVE
UNIVERSITY

Jessica W. Berg, Dean
Tom J.E. and Bette Lou Walker
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Dear Members of the Faculty Senate,

We are pleased to submit this letter in support of the CWRU School of Law's Master of Arts in Financial Integrity (MAFI) program. Designed and taught by experts from diverse financial regulatory bodies, top financial sector compliance officials, law enforcement, and leading academics, MAFI provides a unique academic approach, combining theory and practice. The program will educate professionals who seek insight into cutting edge issues in financial integrity, and is the only academically based program of its kind offered by a major research institution.

The degree was initially approved by the Law School Faculty and the Faculty Senate in 2012. As explained in the initial proposal, it is designed to be taught in financial centers throughout the country and the world. There are likely to be overlapping cohorts (usually no more than two running in any given semester in different cities). The classes are taught on an intensive basis over a Friday-Sunday weekend, and we have an extensive faculty upon whom we draw, ensuring adequate resources.

We are now seeking specific approval to offer MAFI cohorts in the following cities/countries within the span of the next 3-5 years (state level accreditation approvals pending):

New York/New Jersey, Connecticut, D.C., Florida, London, Paris, Los Angeles/California, Las Vegas, India.

This is one of our most exciting and innovative programs, and we look forward to seeing it expand to reach its full potential!

Sincerely,

A handwritten signature in cursive script, appearing to read "Jessica Berg and Michael Scharf".

Jessica Berg and Michael Scharf

Co-Deans, School of Law

Executive Master of Arts Degree in Financial Integrity Case Western Reserve University School of Law

Starting in the fall of 2014, Case Western Reserve University School of Law's Program in Financial Regulation will be offering a new international Executive Master of Arts Degree in Financial Integrity [EMAFI]. The course of study is designed for experienced professionals in the policy and practice of anti-money laundering, counter-terrorism financing and proliferation finance, and related areas such as anti-corruption. Team-taught by top academics and practitioners from around the world, the EMAFI degree program will be the first of its kind ever offered by a major university.

Applicants must have a BA or equivalent degree and professional experience in financial integrity or a related field. To obtain the EMAFI degree, students must successfully complete 8 courses, each of which is 3 credits or 36 hours of instruction, for a total of 24 credits.

Students must choose between two tracks of study: (1) Regulatory Compliance and (2) Investigation and Prosecution. Because all financial integrity professionals should be well versed in the basics of both prevention and enforcement, students in both tracks will be required to complete the same 4 Foundation Courses that cover the key elements of both areas. Following completion of these courses, students will be required to take 2 Focus Courses that are specific to their track.

Following completion of the required courses, students must complete 2 Electives.

Courses are to be conducted through a combination of on-site and on-line instruction. Each course will be offered over 6 consecutive days, consisting of a total of 26 hours of classes. Each of these classes, which will include both lecture and discussion, will also be recorded and placed on-line. Each course will also consist of 8 hours of on-line instruction and 2 hours of on-line exams, for a combined total of 36 hours. Courses are to be taught in New York, London, Paris/Brussels, New Delhi, and Hong Kong.

Because it is vitally important that students in an executive program have the opportunity to interact with faculty and each other in a way that only on-site learning can accomplish, students will be required to attend at least 4 courses in person.¹ However, since the commitment of time and financial resources is greater for in-person than on-line instruction, students may, if they so choose, take up to 4 courses on-line only.

The School will begin accepting applications starting [].

The EMFI program is offered in cooperation with the Financial Action Task Force, the Egmont Group, International Governance and Risk Institute, and Northeastern University.

¹ Plus 8 hours of on-line instruction and 2 hours of on-line exams.

Course of Study for Executive Master of Arts Degree in Financial Integrity
Case Western Reserve School of Law
All courses are 3 credits/36 hours of instruction

Foundation Courses

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

This course will introduce students to the basics of money laundering and to the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation. The course will begin with an overview of the criminology of money laundering and to the origins of the FATF and the development of the Recommendations. It will examine how each recommendation functions in preventing, uncovering, and prosecuting money laundering, terrorism financing, and proliferation. The course will also introduce how the process of assessing compliance works.

Preventive measures in depth: risk assessment, customer on boarding and acceptance, record keeping, customer activity monitoring, suspicious activity report preparation, internal controls, and regulation and supervision

This course will examine in detail measures that banks and other financial institutions are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, record keeping, customer activity monitoring, suspicious activity report preparation, internal controls, and the regulation and supervision of financial institutions with respect to preventive measures implementation. The course will focus on the preventive measures found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and predicate crimes

This course will examine in detail the operations of national financial intelligence units in analyzing suspicious activity reports and other data and information and in creating actionable intelligence from that information. It will then examine the investigation of the crimes of money laundering/financing of terrorism and proliferation, and a selection of key predicate crimes. The course will also review the operational and law enforcement elements found in the Financial Action Task Force's [FATF] Forty Recommendations on

combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

International cooperation in civil and criminal matters in depth

This course will examine in detail how financial intelligence units, investigators, prosecutors, and investigative judges/magistrates cooperate with officials of other jurisdictions in identifying possible money laundering/financing of terrorism and proliferation cases, investigating and prosecuting those cases, and recovering assets that are candidates for freezing or confiscation. The course will also review the international cooperation elements found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation, U.N. conventions, model laws and regulations, and on a sampling of key national laws and regulations, including those of the United States.

Focus Courses

Track 1: Regulatory Compliance

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program, with a focus on the banking sector.

Anti-money laundering/financing of terrorism and proliferation audits, inspections, on-site examinations, and sanctions

This course will continue the coverage of audits, inspections, on-site examinations, and sanctions covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program.

Track 2: Law Enforcement and Prosecution

Building and prosecuting an anti-money laundering/financing of terrorism and proliferation criminal case

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

Asset tracing and recovery

The course will continue the coverage of asset tracing and recovery in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of asset tracing and recovery.

Electives

Selected topics in automated customer acceptance and transaction monitoring systems

This course will consider the use of automated customer acceptance and transaction monitoring systems. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of data presentation. The course will examine current vendor products. The course will also make use of case studies.

Selected topics in automated financial intelligence unit systems: automated tools and transaction activity analysis

This course will consider the use of automated systems for analyzing suspicious transaction reports and other data to develop actionable intelligence. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of intelligence presentation. The course will examine current vendor products. The course will also make use of case studies.

Selected preventive measures issues for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses

This course will examine in detail measures that for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and the regulation and supervision of non-bank financial institutions with respect to preventive measures implementation. The course will also review the use of automated systems and make use of case studies.

Selected preventive measures issues with respect to legal persons and arrangements, designated non-financial businesses and persons, trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing

This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth by examining the special circumstances of trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The principle focus will be on developing and implementing effective typologies. The course will primarily involve the presentation and discussion of case studies.

Selected operational and law enforcement issues with respect to legal persons and arrangements, designated non-financial businesses and persons narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement by examining narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

Mutual evaluations by the Financial Action Task Force and assessments by the IMF/World Bank: A practical approach for assessors and countries to be assessed using the Financial Action Task Force Methodology

The course will cover the process of assessment compliance with the Financial Action Task Force's 40 Recommendations by use of the FATF's Methodology of Assessment. It will include all aspects of compliance assessment, from initial self-assessment questionnaire preparation to final discussion of the draft assessment at the FATF/FSRB Plenary.

Philosophy of anti-money laundering and the financing of terrorism and proliferation: theories of global justice and philosophy of law as a normative basis for international standards

The course will focus on practical and theoretical issues of global justice as they pertain to anti-money laundering and combating the financing of terrorism. What are our obligations to international justice? How do they influence AML/CFT law? The course will consider the normative basis of jurisprudence, comparing legal positivism to natural law theory. Next, the course will look at theories of global justice suitable to answer normative questions on what law should aim at. The remainder of the course will consider practical issues that come into play with AML/CFT law, such as corruption, poverty, distributive justice, human rights, violence, and war.

[Draft Application to Ohio Regents for approval of Degree Program]

Executive Master of Arts in Financial Integrity

Case Western Reserve University School of Law

Program Development Plan

Preamble

Since the attacks of September 11, 2001, experts in compliance with financial integrity standards, as well as investigation and prosecution of anti-money laundering and terrorism financing, have been in ever-increasing demand world wide. In particular, this year's unprecedented fines, levied by financial regulators on banks in the United States and the United Kingdom for breaching their integrity obligations, have resulted in a significant increase in the demand for experts by both financial institutions and governments. However, such demands have not been met, in part because only one university in the world (located in Sydney, Australia) offers an advanced degree in financial integrity.

Case Western Reserve University School of Law is planning to respond to that demand by offering an executive master or arts degree in financial integrity. Case is unusually well placed to offer such a degree because of its unique Program in Financial Integrity. Headed by Professor Richard Gordon, former Senior Counsel and Senior Financial Expert at the International Monetary Fund and a principal author of the Fund's and the World Bank's entry into the field of anti-money laundering, the Program has sponsored courses in the School's JD program (unique to American law schools), as well as conferences and symposia, attended by the most prominent experts in the field. The Program is in a unique position to leverage relations nurtured by these activities by successfully recruiting experts to teach in the program.

1. Designation of the degree program, rational for that designation, definition of the focus of the program, and a brief description of its disciplinary purpose and significance.

The new degree program is for an executive Master of Arts in Financial Integrity [MAFI] at Case Western Reserve University School of Law. Establishing an executive MAFI program would build on the law school's expertise in this area, its close relationships with the Financial Action Task Force (the international standard-setter for financial integrity), the International Monetary Fund and World Bank (who are assessors of compliance with those standards), and key practitioners throughout the world. It would further the School's exceptional international reputation in this critical field of financial regulation.

2. Description of the proposed curriculum.²

Designed and taught by the leading experts in the field, the executive MAFI program will provide experienced professionals with an in-depth knowledge of the policy and practice of anti-money laundering and counter-terrorism and proliferation finance. It will prepare students for leadership positions in financial integrity in financial institutions and in government.

Applicants must have a BA or equivalent degree and professional experience in financial integrity or a related field. The executive MAFI is a part-time program designed for professionals currently working in the field. As such, it is expected that students will complete the program in around 24 months, but in no case in fewer than 18 months or more than 30 months. To obtain the executive MAFI degree, students must successfully complete eight courses, each of which is three credits or 36 hours of instruction, for a total of 24 credits (see list of courses below).

Students will choose between two tracks of study: (1) Regulatory Compliance and (2) Investigation and Prosecution. Because all financial integrity professionals should be well versed in the basics of both prevention and enforcement, students in both tracks will be required to complete the same four Foundation Courses that cover the key elements of both areas. Following completion of these courses, students will be required to take two Focus Courses that are specific to their track. Following completion of the required courses, students must complete two Electives.

Courses are to be conducted through a combination of on-site and on-line instruction. Each course will be offered in one or more major financial centers around the world over six consecutive days, consisting of a total of 26 hours of classes. Each of these classes, which will include both lecture and discussion, will also be recorded and placed on-line. Each course will also consist of 10 hours of on-line instruction, for a combined total of 36 hours.

Because it is vitally important that students in an executive program have the opportunity to interact with faculty and each other in a way that only on-site learning can accomplish, students will be required to attend at least four courses in person.³ However, because the commitment of time and financial resources is greater for in-person than on-line instruction, students may, if they so choose, take up to four courses on-line only.

Foundation Courses

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation; Preventive measures in depth: risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and regulation and

² See Appendix for descriptions for each course.

³ Plus 10 hours of on-line instruction.

supervision; Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and asset tracing and seizure; International cooperation in civil and criminal matters

Focus Courses

Track 1: Regulatory Compliance

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program; Anti-money laundering/financing of terrorism and proliferation audits, inspections, on-site examinations, and sanctions

Track 2: Law Enforcement and Prosecution

Building and prosecuting an anti-money laundering/financing of terrorism and proliferation criminal case; Asset tracing and recovery

Elective Courses

Selected topics in automated customer acceptance and transaction monitoring systems; Selected topics in automated financial intelligence unit systems: automated tools and transaction activity analysis; Selected preventive measures issues for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses; Selected preventive measures issues with respect to narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing; Selected operational and law enforcement issues with respect to narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing; Mutual evaluations by the Financial Action Task Force and assessments by the IMF/World Bank: A practical approach for assessors and countries to be assessed using the Financial Action Task Force Methodology; Philosophy of anti-money laundering and the financing of terrorism and proliferation: theories of global justice and philosophy of law as a normative basis for international standards

3. Administrative arrangements for the proposed program: department and school or college involved.

The program is part of the Law School. Professor Richard Gordon, Associate Director of the School's Cox International Law Center and Director of the School's Program in Financial Law, will serve as chief administrator. Gordon will be assisted by his administrative assistant Deborah Turner, and by Nancy Pratt and Raymond Ultrup, who help manage the Law School's six Center's of Excellence. However, administration of program will require significant additional resources with respect to organizing the 15 week-long intensive sessions—to be held in Cleveland and in six other cities around the world—taught by 30 part-time adjuncts and two full-time faculty. These resources will

be provided by the International Governance and Risk Institute. The Institute, a UK-based consultancy, has over 10 years of experience in successfully planning and organizing conferences and classes around the globe, and has partnered with such organizations the International Monetary Fund, the World Bank, and the UK Foreign and Commonwealth Office. The Law School's partnership with the International Governance and Risk Institute will ensure the successful administration of each individual class as well as the Program as a whole.

4. Evidence of need for the new degree program, including the opportunities for employment of graduates. This section should address other similar programs in the state addressing this need and potential duplication of programs in the state and the region.

Since the attacks of September 11, 2001, experts in compliance with financial integrity standards, as well as investigation and prosecution of anti-money laundering and terrorism financing, have been in ever-increasing demand world wide. This year's unprecedented fines, levied by financial regulators on banks in the US and UK for breaching their integrity obligations, have resulted in a significant increase in demand for experts by both financial institutions and governments. In fact, it was Willie Maddox, Vice President and ERM Risk Assessment Manager at KeyBank in Cleveland, Phil DeLuca, Senior Vice President and Compliance Managing Director for JPMorgan Chase Bank in Columbus, and Rick McDonell, head of the Financial Action Task Force, who suggested that the Law School offer an executive MAFI. As students in this executive program would already be employed in the field, opportunities for graduates would lie in superior job performance and movement to more senior positions. There is currently no such program offered in the state or region; in fact, as far as we can determine, as of this writing the only similar program offered anywhere in the world is an on-line only course at Charles Sturt University in Sydney, Australia.

5. Prospective enrollment.

We anticipate that around 10 students will begin the program in the first year, will begin growing to about 30 entering in the third year.

6. Special efforts to enroll and retain underrepresented groups in the given discipline.

As with CWRU's policy, diversity will be an important factor to be considered in outreach to both potential students and adjuncts. We expect students to enroll from each inhabited continent and therefore to represent a significant diversity of ethnicity. A Steering Committee has been appointed to advise the program, with Willie Maddox, Vice President and ERM Risk Assessment Manager at KeyBank, an African-American woman with significant experience in promoting diversity in the financial sector, leading the Subcommittee on Inclusion.

7. Availability and adequacy of the faculty and facilities available for the new degree program

Because of the size and international reach of the program, we anticipate significant additional courses, faculty, and facilities. For this reason, we have already approved 15 new courses (listed above and described in detail in the Appendix), and received commitments from 30 top experts from around the world to serve as adjuncts—in most cases without any compensation—in addition to our current, full-time faculty. This should be more than adequate. Because the vast majority of courses will be taught in cities outside of Cleveland, it has been necessary to secure commitments to provide teaching space in those cities. So far, we have received commitments from donors for space in New York, London, Paris/Brussels, Geneva, New Delhi, and Hong Kong.

8. Need for additional facilities and staff and the plans to meet this need.

Please see answers to number 3 and number 7 above.

9. Projected additional costs associated with the program and evidence of institutional commitment and capacity to meet these costs.

With an estimated tuition of \$ 50,000, and with 10 students entering in the first year with an increase to 30 entering in the third, the executive MAFI should bring in an additional \$ 500,000 in tuition the first year, rising to \$1.5 million in the third. Because most adjuncts have agreed to serve *gratis* or for a nominal sum, and because teaching space outside Cleveland has been donated, the major additional expenses of the Program should be limited to compensating International Governance and Risk Institute for its work in administering the project, and reimbursing transportation and hotel costs to those faculty who must travel to cities where the courses are being offered (we plan to minimize these costs by ensuring, where possible, that adjunct faculty be assigned to teach courses where they are resident). We believe that the program should generate significant net proceeds. We also believe that by offering such a program we shall greatly increase the School's international reputation, which should have a positive effect on our fundraising efforts.

Appendix

Course of Study for Executive Master of Arts Degree in Financial Integrity Case Western Reserve School of Law *All courses are 3 credits/36 hours of instruction*

Foundation Courses

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

This course will introduce students to the basics of money laundering and to the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation. The course will begin with an overview of the criminology of money laundering and to the origins of the FATF and the development of the Recommendations. It will examine how each recommendation functions in preventing, uncovering, and prosecuting money laundering, terrorism financing, and proliferation. The course will also introduce how the process of assessing compliance works.

Preventive measures in depth: risk assessment, customer on boarding and acceptance, record keeping, customer activity monitoring, suspicious activity report preparation, internal controls, and regulation and supervision

This course will examine in detail measures that banks and other financial institutions are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, record keeping, customer activity monitoring, suspicious activity report preparation, internal controls, and the regulation and supervision of financial institutions with respect to preventive measures implementation. The course will focus on the preventive measures found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and predicate crimes

This course will examine in detail the operations of national financial intelligence units in analyzing suspicious activity reports and other data and information and in creating actionable intelligence from that information. It will then examine the investigation of the crimes of money laundering/financing of terrorism and proliferation, and a selection of key predicate crimes. The course will also review the operational and law enforcement elements found in the Financial Action Task Force's [FATF] Forty Recommendations on

combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

International cooperation in civil and criminal matters in depth

This course will examine in detail how financial intelligence units, investigators, prosecutors, and investigative judges/magistrates cooperate with officials of other jurisdictions in identifying possible money laundering/financing of terrorism and proliferation cases, investigating and prosecuting those cases, and recovering assets that are candidates for freezing or confiscation. The course will also review the international cooperation elements found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation, U.N. conventions, model laws and regulations, and on a sampling of key national laws and regulations, including those of the United States.

Focus Courses

Track 1: Regulatory Compliance

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program, with a focus on the banking sector.

Anti-money laundering/financing of terrorism and proliferation audits, inspections, on-site examinations, and sanctions

This course will continue the coverage of audits, inspections, on-site examinations, and sanctions covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program.

Track 2: Law Enforcement and Prosecution

Building and prosecuting an anti-money laundering/financing of terrorism and proliferation criminal case

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

Asset tracing and recovery

The course will continue the coverage of asset tracing and recovery in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of asset tracing and recovery.

Electives

Selected topics in automated customer acceptance and transaction monitoring systems

This course will consider the use of automated customer acceptance and transaction monitoring systems. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of data presentation. The course will examine current vendor products. The course will also make use of case studies.

Selected topics in automated financial intelligence unit systems: automated tools and transaction activity analysis

This course will consider the use of automated systems for analyzing suspicious transaction reports and other data to develop actionable intelligence. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of intelligence presentation. The course will examine current vendor products. The course will also make use of case studies.

Selected preventive measures issues for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses

This course will examine in detail measures that for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and the regulation and supervision of non-bank financial institutions with respect to preventive measures implementation. The course will also review the use of automated systems and make use of case studies.

Selected preventive measures issues with respect to legal persons and arrangements, designated non-financial businesses and persons, trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing

This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth by examining the special circumstances of trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The principle focus will be on developing and implementing effective typologies. The course will primarily involve the presentation and discussion of case studies.

Selected operational and law enforcement issues with respect to legal persons and arrangements, designated non-financial businesses and persons narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement by examining narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

Mutual evaluations by the Financial Action Task Force and assessments by the IMF/World Bank: A practical approach for assessors and countries to be assessed using the Financial Action Task Force Methodology

The course will cover the process of assessment compliance with the Financial Action Task Force's 40 Recommendations by use of the FATF's Methodology of Assessment. It will include all aspects of compliance assessment, from initial self-assessment questionnaire preparation to final discussion of the draft assessment at the FATF/FSRB Plenary.

Philosophy of anti-money laundering and the financing of terrorism and proliferation: theories of global justice and philosophy of law as a normative basis for international standards

The course will focus on practical and theoretical issues of global justice as they pertain to anti-money laundering and combating the financing of terrorism. What are our obligations to international justice? How do they influence AML/CFT law? The course will consider the normative basis of jurisprudence, comparing legal positivism to natural law theory. Next, the course will look at theories of global justice suitable to answer normative questions on what law should aim at. The remainder of the course will consider practical issues that come into play with AML/CFT law, such as corruption, poverty, distributive justice, human rights, violence, and war.

[Course Proposals]
Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

1. State name of proposed course or seminar:

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will cover the basics of the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism and proliferation, as well the methodology for assessing compliance with those standards, as promulgated by the Financial Action Task Force.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation: This course will introduce students to the basics of money laundering and to the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation. The course will begin with an overview of the criminology of money laundering and to the origins of the FATF and the development of the Recommendations. It will examine how each recommendation functions in preventing, uncovering, and prosecuting money laundering, terrorism financing, and

proliferation. The course will also introduce how the process of assessing compliance works.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

No prerequisites.

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the four required Foundation courses in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Richard Gordon, *Combating Money Laundering and the Financing of Terrorism & Proliferation: Theory and Practice* (Oxford, 2014)

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Richard Gordon, Elizabeth Joyce, Eliot Kennedy, P.N. Krishnan, Nadim Kyriakos-Saad, Willie Maddox, Rick McDonell, Andre Montesdeoca--Broquetas, Nina Nichols, Nikos Passas, Moni SenGupta, Richard Small.

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Elizabeth Joyce, Section Chief, Counter-Terrorism Committee, Executive Directorate, United Nations, New York

Eliot Kennedy, Executive Secretary, Asia Pacific Group on Money Laundering (the Asian FATF-Style Regional Body), Sydney

Nadim Kyriakos-Saad, Deputy Director, Financial Integrity Group, IMF, Washington, DC

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Dr. Alejandro Montesdeoca--Broquetas, Former Executive Secretary, GAFISUD (the Latin American FATF-Style Regional Body), Montevideo, Uruguay

Nina Nichols, Deputy Director of the Division of Supervision Policy and Support, Federal Housing Finance Agency, formerly Senior Vice President, JP Morgan Chase and Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System, Washington, DC

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

P. Moni SenGupta, Financial Sector Expert, the World Bank, formerly Senior Counsel, IMF, Washington DC.

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System, Washington DC

Professor Dr. K.P. Krishnan, Principal Resident Commissioner and former Head of FATF Cell, Financial Action Task Force, New Delhi, India

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

2. State name of proposed course or seminar:

Preventive measures in depth: risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and regulation and supervision.

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will cover those measures designed to prevent financial institutions from being used by criminals to launder money, finance terrorism, and avoid proliferation sanctions.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Preventive measures in depth: risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and regulation and supervision: This course will examine in detail measures that banks and other financial institutions are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and the regulation and supervision of financial institutions with respect to preventive measures implementation. The course will focus on the preventive measures found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism

and proliferation and on a sampling of key national laws and regulations, including those of the United States.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the four required Foundation courses in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Emile van der Does de Willebois et alia, Preventing Money Laundering and Terrorism Financing A comprehensive Guide: A Comprehensive Guide for Bank Supervisors (2009)

Richard Gordon, Combating Money Laundering and the Financing of Terrorism & Proliferation: Theory and Practice (Oxford, 2014); The FATF Forty Recommendations; The FATF Methodology of Compliance Assessment; selected statutory and regulatory materials

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System

Phil DeLuca, Senior Vice President and Compliance Managing Director, JPMorgan Chase Bank, Columbus, OH

Karim Rajwani Global Head, Anti-Money Laundering, *Royal Bank* of Canada, Toronto, Canada

Procedures for Proposing New Courses or Seminars

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3. State name of proposed course or seminar:

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and predicate crimes

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will cover in depth key issues relating to the operation of financial intelligence units and the investigation and prosecution of money laundering/financing of terrorism and proliferation, and to a selection of key predicate crimes.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and predicate crimes: This course will examine in detail the operations of national financial intelligence units in analyzing suspicious activity reports and other data and information and in creating actionable intelligence from that information. It will then examine the investigation of the crimes of money laundering/financing of terrorism and proliferation, and a selection of key predicate crimes. The course will also review the operational and law enforcement elements found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the four required Foundation courses in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who

has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Richard Gordon, *Combating Money Laundering and the Financing of Terrorism & Proliferation: Theory and Practice* (Oxford, 2014); *The FATF Forty Recommendations*; *The FATF Methodology of Compliance Assessment*; selected statutory and regulatory materials; case studies

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Yves Aeschlimann, Richard Barrett, Jeff Breinhold, Jean Pierre Brun, Mark Butler, Sue Eckert, Patrick O'Sullivan, Nikos Passas, Susan Pond, Kevin Stephenson, Emile van der Does de Willebois, Boudewijn Verhelst

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Yves Aeschlimann, Senior Vice President and AML Compliance Officer, UBS and former Financial Sector Expert, The World Bank, and Former Investigating Judge, Zurich, Switzerland

Richard Barrett, CMG, OBE, International Centre for Counter-Terrorism, The Hague and former Coordinator, Al-Qaida Taliban Monitoring Team, UN, NYC

Jeff Breinhold, founding Co-Director, Counterterrorism Task Force, United States Department of Justice.

Jean Pierre Brun, Financial Sector Specialist, World Bank, Washington; formerly Prosecutor and Investigative Judge, and Director for Forensic and Fraud investigations, Deloitte Finance, Paris.

Mark Butler, Financial Sector Expert, the World Bank, former Head of Financial Crime Unit, Hong Kong Police

Hon. Sue Eckert, Senior Fellow, the Watson Institute, Brown University, Providence, RI, former Assistant Secretary of Commerce, Washington, DC

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

Susan Pond, Senior Officer, Political Affairs and Security Policy, NATO Headquarters, Brussels, Belgium

Kevin Stephenson, Executive Secretary, The Egmont Group of Financial Intelligence Units, Ottawa, Canada

Boudewijn Verhelst, Chairman, the Egmont Group and Co-Director, the Belgian Financial Intelligence Unit, Brussels, Belgium

Emile van der Does de Willebois, Senior Financial Sector Expert, Financial Market Integrity/ Stolen Asset Recovery Initiative (StAR), The World Bank, Washington DC

Procedures for Proposing New Courses or Seminars

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4. State name of proposed course or seminar:

International cooperation in civil and criminal matters in depth

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will cover in depth key issues relating to international cooperation in financial intelligence unit analysis, investigation, prosecution, and both criminal and civil asset recovery and asset sharing, in money laundering/financing of terrorism and proliferation cases.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

International cooperation in civil and criminal matters in depth: This course will examine in detail how financial intelligence units, investigators, prosecutors, and investigative judges/magistrates cooperate with officials of other jurisdictions in identifying possible money laundering/financing of terrorism and proliferation cases, investigating and prosecuting those cases, and recovering assets that are candidates for freezing or confiscation. The course will also review the international cooperation elements found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the four required Foundation courses in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Richard Gordon, *Combating Money Laundering and the Financing of Terrorism & Proliferation: Theory and Practice* (Oxford, 2014); The FATF Forty Recommendations; The FATF Methodology of Compliance Assessment; selected statutory and regulatory materials; case studies

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Yves Aeschlimann, Jean Pierre Brun, Patrick O'Sullivan, Emile van der Does de Willebois, Boudewijn Verhelst

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Yves Aeschlimann, Senior Vice President and AML Compliance Officer, UBS and former Financial Sector Expert, The World Bank, and Former Investigating Judge, Zurich, Switzerland

Jean Pierre Brun, Financial Sector Specialist, World Bank, Washington; formerly Prosecutor and Investigative Judge, and Director for Forensic and Fraud investigations, Deloitte Finance, Paris.

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Boudewijn Verhelst, Chairman, the Egmont Group and Co-Director, the Belgian Financial Intelligence Unit, Brussels, Belgium

Emile van der Does de Willebois, Senior Financial Sector Expert, Financial Market Integrity/ Stolen Asset Recovery Initiative (StAR), The World Bank, Washington DC

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

5. State name of proposed course or seminar:

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth. The course will focus on case studies, primarily from the banking sector.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program: This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program, with a focus on the banking sector.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three

or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Preventive Measures in Depth

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the two required Focus courses in the Regulatory Compliance Track of the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Combatting Money Laundering and Terrorism Financing: A Comprehensive Training Guide (2009)

Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani,
Materials on Financial Integrity Regulatory Compliance

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System

Phil DeLuca, Senior Vice President and Compliance Managing Director, JPMorgan Chase Bank, Columbus, OH

Karim Rajwani Global Head, Anti-Money Laundering, *Royal Bank* of Canada, Toronto, Canada

Procedures for Proposing New Courses or Seminars

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6. State name of proposed course or seminar:

Anti-money laundering/financing of terrorism and proliferation audits, inspections, on-site examinations, and sanctions

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of audits, inspections, on-site examinations, and sanctions covered in Preventive Measures in Depth. The course will focus on case studies, primarily from the banking sector.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Anti-money laundering/financing of terrorism and proliferation audits, inspections, on-site examinations, and sanctions: This course will continue the coverage of audits, inspections, on-site examinations, and sanctions covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the two required Focus courses in the Regulatory Compliance Track of the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Ross Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani,
Materials on Financial Integrity Regulatory Compliance

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Willie Maddox, Nina Nichols, Richard Small, Philip DeLuca,
Karim Rajwani, Shaktikanta

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Nina Nichols, Deputy Director of the Division of Supervision Policy and Support, Federal Housing Finance Agency, formerly Senior Vice President, JP Morgan Chase and Assistant General Counsel, the Board of Governors of the Federal Reserve System, Washington, DC

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System

Phil DeLuca, Senior Vice President and Compliance Managing Director, JPMorgan Chase Bank, Columbus, OH

Karim Rajwani Global Head, Anti-Money Laundering, *Royal Bank of Canada*, Toronto, Canada

Shaktikanta DAS Additional Secretary, Ministry of Finance, Government of India, New Delhi, India

Procedures for Proposing New Courses or Seminars

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7. State name of proposed course or seminar:

Building and prosecuting an anti-money laundering/financing of terrorism and proliferation criminal case

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement in depth. The course will focus on case studies.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Building and prosecuting an anti-money laundering/financing of terrorism and proliferation criminal case: The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and asset tracing and seizure

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the two required Focus courses in Law Enforcement and Prosecution Track of the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Yves Aeschlimann, Richard Barrett, Jeff Breinhold, Jean Pierre Brun, Mark Butler, Sue Eckert, Rick McDonell, Patrick O'Sullivan, Nikos Passas, Susan

Pond, Kevin Stephenson, Emile van der Does de Willebois, Boudewijn Verhelst,
Materials on Operational and Law Enforcement in Financial Integrity.

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Yves Aeschlimann, Richard Barrett, Jeff Breinhold, Jean Pierre Brun, Mark Butler, Sue Eckert, Rick McDonell, Patrick O'Sullivan, Nikos Passas, Susan Pond, Kevin Stephenson, Emile van der Does de Willebois, Boudewijn Verhelst,

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

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Faculty Identification:

Yves Aeschlimann, Senior Vice President and AML Compliance Officer, UBS and former Financial Sector Expert, The World Bank, and Former Investigating Judge, Zurich, Switzerland

Richard Barrett, CMG, OBE, International Centre for Counter-Terrorism, The Hague and former Coordinator, Al-Qaida Taliban Monitoring Team, UN, NYC

Jeff Breinhold, founding Co-Director, Counterterrorism Task Force, United States Department of Justice.

Jean Pierre Brun, Financial Sector Specialist, World Bank, Washington; formerly Prosecutor and Investigative Judge, and Director for Forensic and Fraud investigations, Deloitte Finance, Paris.

Mark Butler, Financial Sector Expert, the World Bank, former Head of Financial Crime Unit, Hong Kong Police

Hon. Sue Eckert, Senior Fellow, the Watson Institute, Brown University, Providence, RI, former Assistant Secretary of Commerce, Washington, DC

Rick McDonnell, Executive Secretary, Financial Action Task Force (FATF), Paris, France

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

Susan Pond, Senior Officer, Political Affairs and Security Policy, NATO Headquarters, Brussels, Belgium

Kevin Stephenson, Executive Secretary, The Egmont Group of Financial Intelligence Units, Ottawa, Canada

Boudewijn Verhelst, Chairman, the Egmont Group and Co-Director, the Belgian Financial Intelligence Unit, Brussels, Belgium

Emile van der Does de Willebois, Senior Financial Sector Expert, Financial Market Integrity/ Stolen Asset Recovery Initiative (StAR), The World Bank, Washington DC

Procedures for Proposing New Courses or Seminars

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8. State name of proposed course or seminar:

Asset tracing and recovery

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of asset recover in operational and law enforcement in depth. The course will focus on case studies.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Asset tracing and recovery: The course will continue the coverage of asset tracing and recovery in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of asset tracing and recovery.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the

seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and asset tracing and seizure

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the two required Focus courses in Law Enforcement and Prosecution Track of the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Jean-Pierre Brun, et alia, Asset Recovery Handbook: A Guide for Practitioners (2011)

Ted Greenburg et alia, Stolen Asset Recover Guide: A good Practices guide for Non-Conviction based Asset Recovery (2010)

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Yves Aeschlimann, Jean Pierre Brun, Patrick O'Sullivan, Nikos Passas, Susan Pond, Kevin Stephenson, Emile van der Does de Willebois, Boudewijn Verhelst,

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Yves Aeschlimann, Senior Vice President and AML Compliance Officer, UBS and former Financial Sector Expert, The World Bank, and Former Investigating Judge, Zurich, Switzerland

Jean Pierre Brun, Financial Sector Specialist, World Bank, Washington; formerly Prosecutor and Investigative Judge, and Director for Forensic and Fraud investigations, Deloitte Finance, Paris.

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

Susan Pond, Senior Officer, Political Affairs and Security Policy, NATO Headquarters, Brussels, Belgium

Kevin Stephenson, Executive Secretary, The Egmont Group of Financial Intelligence Units, Ottawa, Canada

Emile van der Does de Willebois, Senior Financial Sector Expert, Financial Market Integrity/ Stolen Asset Recovery Initiative (StAR), The World Bank, Washington D
Boudewijn Verhelst, Chairman, the Egmont Group and Co-Director, the Belgian Financial Intelligence Unit, Brussels, Belgium

Procedures for Proposing New Courses or Seminars

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9. State name of proposed course or seminar:

Selected topics in automated customer acceptance and transaction monitoring systems

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will consider the use of automated customer acceptance and transaction monitoring systems. It will examine key issues in how such systems work, what systems are currently available, and how they can be improved.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Selected topics in automated customer acceptance and transaction monitoring systems:

This course will consider the use of automated customer acceptance and transaction monitoring systems. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of data presentation. The course will examine current vendor products. The course will also make use of case studies.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be an Elective in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Combatting Money Laundering and Terrorism Financing: A Comprehensive Training Guide (2009)

Ross Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani,
Materials on Financial Integrity Regulatory Compliance

Demonstrations of products offered by vendors

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

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Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Phil DeLuca, Senior Vice President and Compliance Managing Director, JPMorgan Chase Bank, Columbus, OH

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Karim Rajwani Global Head, Anti-Money Laundering, *Royal Bank of Canada*, Toronto, Canada

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System

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10. State name of proposed course or seminar:

Selected topics in automated financial intelligence unit systems: automated tools and transaction activity analysis

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will consider the use of automated systems for government financial intelligence units. It will examine key issues in how such systems work, what systems are currently available, and how they can be improved.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Selected topics in automated financial intelligence unit systems: automated tools and transaction activity analysis: This course will consider the use of automated systems for analyzing suspicious transaction reports and other data to develop actionable intelligence. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of intelligence presentation. The course will examine current vendor products. The course will also make use of case studies.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

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9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Combatting Money Laundering and Terrorism Financing: A Comprehensive Training Guide (2009)

Sean Mark, Patrick O'Sullivan, Boudewijn Verhelst, Materials on Financial Intelligence Unit Automation

Demonstrations of products offered by vendors

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The course is to be taught by Sean Mark, Patrick O'Sullivan, and Boudewijn Verhelst

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Sean Mark, Senior Analyst, AUSTRAC, Sydney and Sargent, Australian Federal Police

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Boudewijn Verhelst, Chairman, the Egmont Group and Co-Director, the Belgian Financial Intelligence Unit, Brussels, Belgium

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

11. State name of proposed course or seminar:

Selected preventive measures issues for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will consider risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and regulation and supervision for the non-bank financial sector.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Selected preventive measures issues for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses: This course will examine in detail measures that for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and the regulation and supervision of non-bank financial institutions with respect to preventive measures implementation. The course will also review the use of automated systems and make use of case studies.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be an Elective in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who

has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Ross Delston, Richard Gordon, and Sean Watterston, Materials on CDD, STR Reporting, and Compliance Supervision in the Non-Bank Sector

Demonstrations of products offered by vendors

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Richard Gordon, and Sean Watterston

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Sean Watterston, Senior Fellow, Case Program on Financial Regulation, and former Senior Vice President, Enterprise Policy & Regulatory Relations, Bank of America and former Senior Counsel, Securities & Exchange Commission, Office of International Affairs, Washington, DC

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

12. State name of proposed course or seminar:

Selected preventive measures issues with respect to trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation with respect to selective predicate offenses to money laundering and terrorism and proliferation financing.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Selected preventive measures issues with respect to trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing: This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth by examining the special circumstances of trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The principle focus will be on developing and implementing effective typologies. The course will primarily involve the presentation and discussion of case studies.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be an elective in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who

has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Ross Delston, Philip DeLuca, Willie Maddox, Nikos Passas, Karim Rajwan, Richard Small, Materials on Detection of Predicate Offenses

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Philip DeLuca, Willie Maddox, Nikos Passas, Karim Rajwan, Richard Small

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Phil DeLuca, Senior Vice President and Compliance Managing Director, JPMorgan Chase Bank, Columbus, OH

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Karim Rajwani Global Head, Anti-Money Laundering, *Royal Bank* of Canada, Toronto, Canada

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

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13. State name of proposed course or seminar:

Selected operational and law enforcement issues with respect to narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing.

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement with respect to certain predicate offenses to money laundering and to terrorism and proliferation financing. The course will focus on case studies.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Selected operational and law enforcement issues with respect to narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing: The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement by examining narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three

or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and asset tracing and seizure

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be an Elective in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Yves Aeschlimann, Richard Barrett, Jeff Breinhold, Jean Pierre Brun, Mark Butler, Sue Eckert, Rick McDonell, Patrick O'Sullivan, Nikos Passas, Susan Pond, Kevin Stephenson, Emile van der Does de Willebois, Boudewijn Verhelst, Materials on Operational and Law Enforcement in Financial Integrity.

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Yves Aeschlimann Richard Barrett, Elizabeth Joyce, Jeff Breinhold, Jean Pierre Brun, Susan Pond, Patrick O'Sullivan, Nikos Passas

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Yves Aeschlimann, Senior Vice President and AML Compliance Officer, UBS and former Financial Sector Expert, The World Bank, and Former Investigating Judge, Zurich, Switzerland

Elizabeth Joyce, Section Chief, Counter-Terrorism Committee, Executive Directorate, United Nations, New York

Richard Barrett, CMG, OBE, International Centre for Counter-Terrorism, The Hague and former Coordinator, Al-Qaida Taliban Monitoring Team, UN, NYC

Jeff Breinhold, founding Co-Director, Counterterrorism Task Force, United States Department of Justice.

Jean Pierre Brun, Financial Sector Specialist, World Bank, Washington; formerly Prosecutor and Investigative Judge, and Director for Forensic and Fraud investigations, Deloitte Finance, Paris.

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

Susan Pond, Senior Officer, Political Affairs and Security Policy, NATO Headquarters, Brussels, Belgium

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

14. State name of proposed course or seminar:

Mutual evaluations by the Financial Action Task Force and assessments by the IMF/World Bank: A practical approach for assessors and countries to be assessed using the Financial Action Task Force Methodology

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will cover the process of assessment compliance with the Financial Action Task Force's 40 Recommendations.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Mutual evaluations by the Financial Action Task Force and assessments by the IMF/World Bank: A practical approach for assessors and countries to be assessed using the Financial Action Task Force Methodology: The course will cover the process of assessment compliance with the Financial Action Task Force's 40 Recommendations by use of the FATF's Methodology of Assessment. It will include all aspects of compliance assessment, from initial self-assessment questionnaire preparation to final discussion of the draft assessment at the FATF/FSRB Plenary.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Preventive measures in depth: risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and regulation and supervision

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and predicate crimes, and asset tracing and seizure

International cooperation in civil and criminal matters in depth

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be an Elective in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

FATF, 40 Recommendations (2012); FATF, Methodology (2013); Various country compliance reports

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Richard Gordon, Eliot Kennedy, Nadim Kyriakos-Saad, Richard McDonell, Alejandro Montesdeoca--Broquetas Moni SenGupta. Emile van der Does de Willebois

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Eliot Kennedy, Executive Secretary, Asia Pacific Group on Money Laundering, Sydney

Nadim Kyriakos-Saad, Deputy Director, Financial Integrity Group, IMF, Washington, DC

Rick McDonell, Executive Secretary, Financial Action Task Force (FATF), Paris, France

Dr. Alejandro Montesdeoca--Broquetas, former Executive Secretary, GAFISUD (the Latin American FATF-Style Regional Organization), Montevideo, Uruguay

P. Moni SenGupta, Financial Sector Expert, the World Bank, formerly Senior Counsel, IMF, Washington DC

Emile van der Does de Willebois, Senior Financial Sector Expert, Financial Market Integrity/ Stolen Asset Recovery Initiative (StAR), The World Bank, Washington DC

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

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15. State name of proposed course or seminar:

Philosophy of anti-money laundering and the financing of terrorism and proliferation: theories of global justice and philosophy of law as a normative basis for international standards

2. Indicate whether the proposal is for a "seminar" or a "course".

Course

3. Describe the subject matter and coverage of proposed course or seminar:

This course will provide a background on philosophy of law, and focus on global justice and applied ethics.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Philosophy of anti-money laundering and the financing of terrorism and proliferation: theories of global justice and philosophy of law as a normative basis for international standards: The course will focus on practical and theoretical issues of global justice as they pertain to anti-money laundering and combating the financing of terrorism. What are our obligations to international justice? How do they influence AML/CFT law? The course will consider the normative basis of jurisprudence, comparing legal positivism to natural law theory. Next, the course will look at theories of global justice suitable to answer normative questions on what law should aim at. The remainder of the course will consider practical issues that come into play with AML/CFT law, such as corruption, poverty, distributive justice, human rights, violence, and war.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

none

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

An elective in the Executive Master of Arts Degree in Financial Integrity, this course provides guidance in what the law should be as opposed to current law. It will help provide students tools to determine the value of existing laws as well as offer comprehensive theories providing answers on these issues.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

“Global Justice: Seminal Essays,” edited by Thomas Pogge and Darrel Moellendorf

This book will be supplemented by additional articles and book excerpts to be provided under fair use copyright laws on PDF.

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

exam

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

Jill Delston, Sue Eckert, Nikos Passsas,

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course need only be offered on a periodic basis as an elective

Attachment

Global Justice: Seminal Essays (Thomas Pogge and Darrel Moellendorf eds)

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Faculty Identification:

Jill Baker Delston, Assistant Teaching Professor, Philosophy Department, University of Missouri, St. Louis, MO

Hon. Sue Eckert, Senior Fellow, the Watson Institute, Brown University, Providence, RI, former Assistant Secretary of Commerce, Washington, DC

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

YVES AESCHLIMANN

4d chemin des Fraisiens
1212 Grand-Lancy
+41 173 60 11
46, Swiss, married, two children

PROFESSIONAL EXPERIENCE

Since January 2013: Senior Vice-President, Group Compliance Officer at Banque Privée Edmond de Rothschild SA, Geneva (“BPER”)

My duties include overseeing Compliance within the BPER Group; managing BPER’s Compliance Department; monitoring the operations of the Compliance Departments of the BPER Group entities; chairing or serving on various committees at the BPER, BPER Group and Edmond de Rothschild Group levels; acting as the main liaison officer with national authorities on matters relating to Compliance, particularly the prevention of money laundering and terrorist financing; helping to implement the government’s “clean money” strategy within the BPER Group.

January 2010 - December 2012: World Bank, Washington DC, Senior Financial Sector Specialist on integrity in financial markets

My duties included helping clients (sovereign States) to implement the Financial Action Task Force (FATF) recommendations in their countries; drawing up multidisciplinary action plans with the parties involved in combating money laundering and terrorist financing, particularly Ministries of Justice, Finance and the Interior, central banks, financial regulators, financial intelligence units and private-sector players, including banks.

I also developed practical training material on the prevention of money laundering and terrorist financing and provided it to prosecutors, judges, inspectors, financial intelligence units and private-sector players.

I represented the World Bank in its dealings with institutions such as FATF, regional FATF organisations, the UN, the OECD and Egmont and took part in their working groups.

I gave lectures on money laundering, corruption, international cooperation and the recovery of assets stolen by Politically Exposed Persons (PEPs) at numerous international conferences, on behalf of the public and private sector players, including banks.

On behalf of the Stolen Asset Recovery Initiative (StAR) I advised certain governments on moves to recover assets that had been stolen, laundered and invested in international financial centres; I also contributed to various StAR publications.

January 2001 - December 2009: Magistrate with the Geneva Judiciary

January 2001 - May 2002: As Deputy State Prosecutor of Geneva I headed multidisciplinary teams conducting preliminary enquiries; drafted Court documents (ordinances, opinions and appeals); assisted the prosecuting attorneys at hearings held by the Indictment Division, the Police Court, the Criminal Court and the Geneva Court of Appeals; served on various cantonal and national commissions.

June 2002 - December 2009: As an investigating magistrate in Geneva (from 2007 exclusively on cases involving financial crimes), I dealt with judicial information with international ramifications on money laundering, corruption and other related infractions; directed multidisciplinary teams conducting preparatory investigations; executed requests for international judicial assistance; participated in working groups with other judges in Switzerland and abroad; conducted adversary hearings; drafted Court orders; served on various cantonal and national commissions and took part in national and international conferences; had contact with the Federal Departments of Foreign Affairs, Justice, etc., on sensitive cases involving PEPs, and with FINMA on cases involving banks' governing bodies.

July 1999 - December 2000: Chief Clerk at the Geneva Court of First Instance

I directed a department with about 50 employees, which mainly involved managing human resources, organising the workflow, drawing up the budget and assisting the Chief Justice in administrative and judicial matters; helped to set up an in-service training programme for new and veteran staff; collaborated closely with external consultants who had been hired to study the processes and organisational structure of the various sections of the Clerk's Office and to propose ways to improve them.

June 1996 - June 1999: Attorney at the Geneva Bar

Working first as a self-employed barrister and subsequently for Collective Defence, I acted on behalf of clients; did legal consulting; took part in negotiations at the pre-litigation and litigation levels, at hearings and during pleas; drafted Court documents at the cantonal and federal levels in the areas of civil, criminal and administrative law.

Education/training

1999 - 2000 Senior executive training with the Geneva Cantonal Government

1996 - 1999 Faculty of Law of the University of Geneva, research and teaching assistant to Jean-François Perrin, Professor of Civil Law (and an expert in matrimonial and inheritance law)

- 1994 - 1996 Admission to the Geneva Bar
- 1989 - 1993 Faculty of Law of the University of Geneva, Master's in Law completed in 1993
- 1987 - 1989 Centre national d'enseignement à distance (France), Bachelor's degree in Philosophy by correspondence, completed in 1989
- 1984 - 1987 Apprenticeship as an office employee in Geneva, Federal Certificate of Capacity completed in 1987
- 1983 - 1984 Senior high school in Sloan (Iowa), USA

Languages

French: mother tongue

English: written and spoken fluently

German: good speaking skills, school-level writing ability

Jean-Pierre BRUN
Born: 09/24/1962
Senior Financial Specialist
Financial Market Integrity Unit
World Bank (Washington DC)
jeanpierre.brun@yahoo.fr
1-202-297-7079

Professional experience

2008-2013: World Bank, Senior Financial Specialist, Financial Market Integrity Unit (FPDFI), and World Bank-UNODC Stolen Asset Recovery Initiative (StAR), Washington DC.

- Coordinating Anti-Money Laundering technical assistance provided by World Bank teams in the Middle East and North Africa Region. This technical assistance includes: assessing supervisory and investigative capacity of relevant authorities; providing recommendations for legislative or administrative reforms; and training compliance officers, supervisors from central banks, investigators, prosecutors and judges.
- Leading StAR teams providing strategic, legal, and operational assistance to develop and facilitate international investigations initiated by governments (including Tunisia, Senegal, Libya and Egypt) seeking to recover ill-gotten gains from former officials. Technical Assistance includes: designing investigative and legal strategies; recommendations to enhance domestic as well as international inter-agency coordination; and facilitating international cooperation in the context of mutual legal assistance.
- Successfully selected, managed and led a culturally and professionally diverse team composed of more than thirty five bank staff, consultants and external experts from various law enforcement agencies to draft and publish the "Asset Recovery Handbook". The book, which has become one of the Bank's best sellers, provides investigators and prosecutors in developing countries with a step-by-step, practical approach for investigating international corruption and recovering stolen assets located in foreign jurisdictions. It has been translated into French, Spanish, Arabic, Spanish, Korean and Thai languages.
- Developed partnerships and joint projects with various international organizations and represented the Bank at meetings with the OECD, UN, UNODC, IMF and national law enforcement agencies, including the US DOJ, the SEC, and the UK Serious Fraud Office. These joint projects included the drafting of a new OECD/StAR publication on the quantification of proceeds of bribery, and the creation of a StAR-Interpol network of asset recovery focal points.

2008: Deloitte Finance, Director, Paris (France)

- Successfully managed and supervised teams of investigators and auditors conducting international investigations into fraud and corruption allegations in the context of corporate activities. Drafted recommendations to support and implement preventive anti-corruption measures.

2004-2007: Tribunal of Paris, Deputy Chief Prosecutor

- Successfully managed and supervised investigative teams and prosecuted approximately 65 money laundering and corruption cases, including by assessing allegations, formulating investigative strategies, analyzing financial and forensic evidence, preparing investigative reports, and presenting evidence to courts.
- Promoted innovative strategies to develop domestic and international interagency cooperation, including by establishing and managing joint teams of investigators with national as well as international law enforcement authorities.

2003-2004: Tribunal of Bordeaux (France), Vice President and Investigative Judge

- Successfully managed and supervised teams of investigators and financial analysts conducting 55 simultaneous financial investigations. Ensured that legal and evidentiary requirements were met during the investigative process and referred investigative findings to competent courts. Presided adjudication hearings.

1997-2003: Cour des Comptes, Paris, Financial Investigator and Auditor

- Conducted fraud and corruption investigations, as well as management and financial audits, of administrative bodies and state-owned companies with international operations.
- Prepared, presented, and defended reports, briefs or referrals to ensure that ministers and judicial authorities undertook appropriate judicial proceedings, and implemented preventive measures, as a result of key findings.

1994-1996: Ministry of Justice, Paris, Insolvency and Bankruptcy Specialist

- Supervised the work of chief prosecutors and attorneys representing the Government in significant insolvency and bankruptcy proceedings involving financial institutions. Drafted legislation and participated in international negotiations regarding bankruptcy and insolvency.

1990-1994: Tribunal of Marseille (France), Prosecutor

- Managed and supervised investigations of complex fraud and transnational corruption and directed investigative teams.

Publications

2011: Asset Recovery Handbook, a Guide for Practitioners
(Stolen Asset Recovery initiative, the World Bank-UNODC, 2011).

2011: Barriers to Asset Recovery, an Analysis of the Key Barriers and Recommendations for Action (Stolen Asset Recovery initiative, the World Bank-UNODC, 2011).

2012: Joint StAR/OECD typology of quantification of proceeds of bribery.

Education

1985: Master's Degree, Political Science (Institute for Political Science, Paris)

1986: Master's Degree in Law (University of Aix-en-Provence)

1990: National School of the Magistrates (Certified to serve as a prosecutor and judge)

1995: Master's Degree in Criminal Law (University of Paris-Sorbonne)

2008: Trust Funds Accreditation Program (World Bank)

JILL B. DELSTON, PH.D.

University of Missouri-St. Louis Department of Philosophy
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1 University Blvd.
St. Louis, MO 63121
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AREAS OF SPECIALIZATION

Social and Political Philosophy
Ethics (Normative and Applied)

AREAS OF COMPETENCE

Ancient Philosophy
History of Political Thought
Philosophy of Law

EDUCATION

Ph.D. in Philosophy Washington University in St. Louis Dissertation: "A Hybrid Theory of Global Justice" Committee: Eric Brown (co-chair), Larry May (co-chair), Marilyn Friedman, Clarissa Hayward, Andrew Rehfeld, Christopher H. Wellman (Dissertation abstract available)	August 2011
M.A. in Philosophy Washington University in St. Louis	May 2007
B.A. in Liberal Arts (Great Books curriculum) St. John's College, Annapolis, Maryland	May 2004

AWARDS AND RECOGNITION

Missouri Learning Commons (National Center for Academic Transformation) Course Redesign for Business Ethics, May 2013. (\$5,000)

New Faculty Innovation Grant, University of Missouri-St. Louis, October 2012.

Teaching Citation, Washington University in St. Louis Teaching Center. (Awarded after completing an optional program for doctoral students.) September 2010.

Mellon Dissertation Fellowship Seminar, "The Shadow of the Law" with stipend, Summer 2010. (Declined)

First Place Ethics Contest Winner, "The Most Urgent and Neglected Ethical Issue of Our Time Is Environmentalism." The Washington University in St. Louis Center for the Study of Ethics & Human Values, 2009. (\$500)

PUBLICATIONS

Applied Ethics: A Multicultural Approach. Edited with Larry May and Kai Wong. 5th edition, 2010. Prentice Hall.

CONFERENCE PRESENTATIONS AND COMMENTARY

- “The Criminalization of Money Laundering and Terrorism in Global Contexts: A Hybrid Solution” Spring 2013
American Philosophical Association, Central Division
- “The Criminalization of Money Laundering and Terrorism in Global Contexts: A Hybrid Solution” Spring 2013
Political Theory Workshop, Washington University
- “Why Virtue Ethicists Parent Poorly: The threat of developmental psychology for moral education and childrearing in virtue ethics” Summer 2012
Research Symposium, Washington University
- “A Hybrid Theory of Global Justice” Fall 2011
Colloquium, Washington University
- “Constructivist Theories of International Norms Complete Non-Constructivist Theories,” University of Georgia Graduate Student Conference, Athens Georgia Spring 2011
- “A Hybrid Theory of International Justice,” North American Society for Social Philosophy, Ryerson University Summer 2010
- “A Qualified Attack on Naturalism and Natural Law Theory,” Political Theory Workshop, Washington University Fall 2009
- Commented on “From Military Checkpoints to ‘Terminals’ in the Occupied Territories: The Dangers of Modernizing Power” by Daniela Mansbach, Political Theory Workshop, Washington University Spring 2009
- Commented on “Accountability Mechanisms and National Security Secrecy,” by Kathleen Clark, Political Theory Workshop, Washington University Fall 2008
- “The Limited Leviathan,” North American Society for Social Philosophy, University of Victoria, Canada Summer 2007
- “A Quota on Quotas,” Political Theory Workshop, Washington University Fall 2006
- “The Limited Leviathan,” Ethics Reading Group, Washington University Spring 2006

TEACHING EXPERIENCE

Philosophy of Law (graduate level) Assistant Teaching Professor, UMSL	Fall 2013
Recent Ethical Theories (graduate level) Assistant Teaching Professor, UMSL	Fall 2013
Present Moral Problems Assistant Teaching Professor, UMSL	Fall 2013
Honors International Business Ethics Assistant Teaching Professor, UMSL	Spring 2013
Environmental Ethics Assistant Teaching Professor, UMSL	Spring 2013
Seminar in Ethical Theory (graduate level) Assistant Teaching Professor, UMSL	Fall 2012
Business Ethics Assistant Teaching Professor, UMSL	Fall 2012
Approaches to Ethics Assistant Teaching Professor, UMSL	Fall 2012
Ethics Visiting Assistant Professor, Mt. Holyoke College	Spring 2012
Foundations of Western Thought: History of Ancient Philosophy Visiting Assistant Professor, Mt. Holyoke College	Spring 2012
Social and Political Philosophy Visiting Assistant Professor, Mt. Holyoke College	Spring 2012
Advanced Social and Political Philosophy (Independent Study) Visiting Assistant Professor, Mt. Holyoke College	Spring 2012
International Justice: Possibilities and Limits Visiting Assistant Professor, Mt. Holyoke College	Fall 2011
First Year Seminar: What Is the Good Life? Visiting Assistant Professor, Mt. Holyoke College	Fall 2011
First Year Extended Seminar (Supplemental class for first year seminar)	Fall 2011

Biomedical Ethics Instructor, University College at Washington University	Summer 2010
Biomedical Ethics Instructor, University College at Washington University	Spring 2010
Present Moral Problems Instructor, University College at Washington University	Summer 2009
Environmental Ethics Instructor, University College at Washington University	Summer 2008
Great Philosophers Instructor, University College at Washington University	Summer 2007

TEACHING ASSISTANT EXPERIENCE

All courses at Washington University in St. Louis

Classical Ethical Theories	Spring 2011
Present Moral Problems	Fall 2010, Spring 2010, Fall 2009, Fall 2006
Introduction to Environmental Ethics	Spring 2008
Great Philosophers	Spring 2007, Spring 2006
Biomedical Ethics	Fall 2007, Fall 2005

WORKS IN PROGRESS

“Sovereignty, Absolutism, and Natural Law in Hobbes’ *Leviathan*” (Under Review)
 “Weighing the Decision-Value Principle in the Prisoner’s Dilemma”
 “The Criminalization of Money Laundering and Terrorism in Global Contexts: A Hybrid Solution”

MEMBERSHIPS AND SERVICE

Member, Association of Certified Anti-Money Laundering Specialists, 2012 – present
 Faculty Advisor, Mount Holyoke Debate Society, 2011 – 2012
 Member, American Philosophical Association, 2010 – present
 Member, Washington University Workshop on Politics, Ethics, and, Society 2004 – 2011, 2012 – present
 Member, Washington University Ethics Reading Group, 2004 – 2011
 Member, St. Louis Area Group Reading Ancient Philosophy (in Ancient Greek), 2005 – 2011
 Peer Mentor, Washington University Graduate Philosophy Department 2007-8, 2009-11
 Member, Washington University Meta-Ethics Reading Group, 2009 – 2011
 Member, Campus Kitchens [delivers food to local shelters], 2009 – 2011
 Research Assistant, Anne Margaret Baxley, “The Price of Virtue,” *Pacific Philosophical Quarterly*,” Vol. 88, Issue No. 4, pp. 403-423. 2007.
 Coordinator, Washington University Prospective Student Weekend, 2007

LANGUAGES

Ancient Greek

REFERENCES

Eric Brown, Washington University	eabrown@wustl.edu
Marilyn Friedman, Vanderbilt University	marilyn.friedman@vanderbilt.edu
Larry May, Vanderbilt University	larry.may@vanderbilt.edu
Christopher H. Wellman, Washington University	kwellman@artsci.wustl.edu
Lee Bowie, Mount Holyoke College (teaching letter)	lbowie@mtholyoke.edu

Exhibit B: *Curriculum Vitae* of Ross Delston

ROSS S. DELSTON, CAMS
ATTORNEY + EXPERT WITNESS
WASHINGTON, DC

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(202) 280-1465 (F)
ross@globalaml.com

SUMMARY: Attorney, Certified Anti-Money Laundering Specialist (CAMS), and former US banking regulator (FDIC) with substantial expertise in Bank Secrecy Act/Anti-Money Laundering (BSA/AML) compliance, including expert witness engagements in civil fraud cases; BSA/AML audits, reviews and testing; and international anti-money laundering and combating the financing of terrorism (AML/CFT) compliance projects.

LAW OFFICE OF ROSS S. DELSTON, WASHINGTON, DC 2006 – PRESENT

- Expert witness on BSA/AML compliance issues in three civil cases (including a FINRA arbitration and in state court) against major banks and broker-dealers.
- Completed three annual independent BSA/AML reviews of a public company; currently planning the fourth annual review. Also participated in the independent BSA/AML audit of a regional broker-dealer.
- Retained by financial regulator of major offshore financial center to conduct a review of its AML/CFT compliance activities and risk assessment as well as elements of the regulated sector in order to strengthen the island's supervisory framework.
- Assisted Bryan Cave law firm on 15-month project (April 2007 – July 2008) as part of AIG monitorship. Reviewed AIG's BSA/AML compliance functions including its insurance, broker-dealer, investment adviser, banking and real estate units worldwide; analyzed compliance policies; interviewed compliance officers; and drafted recommendations for effective implementation of US laws, regulations and guidance.
- Consultant to International Monetary Fund (IMF) since 1997, including nine AML/CFT assessments of offshore financial centers such as Saint Vincent (2010) and Bermuda (2008), drafting legislation for member countries, and training government officials.
- Consultant to World Bank since 1998 on banking regulation, enforcement, resolutions.

MANAGING DIRECTOR, KALORAMA PARTNERS, WASHINGTON, DC 2005 – 2006

- Advised financial services firms on compliance issues as a member of strategic consulting firm headed by former SEC Chairman Harvey Pitt.
- Consultant to Kalorama on review of compliance program for broker-dealer to ensure consistency with NYSE and NASD requirements, October 2005.

LEGAL DEPARTMENT, INTERNATIONAL MONETARY FUND, WASHINGTON, DC

- **Consulting Counsel (full-time) specializing in AML/CFT** 2000 – 2005
- **Legal Consultant (project basis) on banking laws** 1997 – 2000
- **OFC Coordinator:** Designated by General Counsel to coordinate legal team during initial phase of offshore financial center assessment program, July – January 2000.
- **AML/CFT assessments:** Participated in assessments of seven offshore financial centers: Aruba, Curacao, Gibraltar, Guernsey, Isle of Man, Jersey, and Panama.
- **Legislative drafting:** Drafted laws on AML/CFT and banking for numerous countries in Africa, Asia, Eastern Europe, and the former Soviet Union.
- **Training:** Organized and/or participated in numerous training seminars on AML/CFT and banking issues in Asia, Europe and the former Soviet Union.

LAW OFFICE OF ROSS S. DELSTON, WASHINGTON, DC **1994 – 2000**

- Specialized in bank regulatory and transactional matters for clients such as a Fortune 50 industrial corporation, a major commercial bank, an S&L holding company, an industrial loan company, a high-tech bank services company and two national law firms.
- Reviewed US government agency proposal for compliance and OFAC program.
- World Bank consultant on banking issues; missions to Philippines and Turkey.

OF COUNSEL, JONES DAY, WASHINGTON, DC **1991 – 1994**

- Specialized in bank mergers and acquisitions and regulatory matters.
- Represented a money-center bank in successful bid on an insolvent bank controlled by the FDIC, and a consumer finance firm in chartering an industrial loan company.
- Testified on open bank assistance before RTC Oversight Board.

**COUNSEL AND ASSISTANT GENERAL COUNSEL – ASSISTED ACQUISITIONS,
LEGAL DEPARTMENT, FEDERAL DEPOSIT INSURANCE CORP.,
WASHINGTON, DC** **1986 – 1991**

- Created, organized and headed 20-attorney Assisted Acquisitions unit, advised FDIC Chairman and Board, led teams responsible for drafting and negotiating deal documents, hired and supervised outside counsel, and implemented training.
- Responsible for the legal work on resolutions of major insolvent banks during US banking crisis, including open bank assistance for First City and BancOklahoma as well as bridge bank transactions for Bank of New England, First Republic, and MCorp, virtually all of the largest bank failures during that period.

COUNSEL, EXPORT-IMPORT BANK OF THE US, WASHINGTON, DC **1976 – 1986**

- Drafted and negotiated numerous loan, guarantee, and insurance transactions.
- Lead attorney on a \$1.5 billion emergency trade credit facility for Brazil, at that time the largest commitment ever authorized by the Export-Import Bank.
- Traveled to Nigeria, Ivory Coast, Senegal, Ecuador, and Bolivia to assess projects.

CERTIFICATIONS & MEMBERSHIPS

- Certified Anti-Money Laundering Specialist (CAMS), 2007 – present.
- Certified CAMS Trainer, 2010 – present.
- Founding board member, US Capital Chapter of Association of Certified Anti-Money Laundering Specialists (ACAMS), 2009 – 2011; Advisor to Board, 2011 – present.
- Co-chaired American Bar Association International AML Committee, 2008 – 2011, then appointed Vice Chair, currently Senior Advisor.
- International Editorial Board, Journal of Banking Regulation (London) 2004 – present.
- Executive Council, Banking Law Committee, Federal Bar Association, 2012.
- District of Columbia Bar Association, 1976 – present. Served on Membership Benefits Committee, 1995 – 2001 (Best Bar Committee Award, 2000).
- AV rated by Martindale-Hubbell Law Directory (highest rating).

EDUCATION

The George Washington University Law School, J.D. with honors, 1976.
The George Washington University, B.A. with Special Honors, 1973.

PUBLICATIONS, PRESS CLIPPINGS AND SPEAKING ENGAGEMENTS, ATTACHED

ROSS S. DELSTON, CAMS: PUBLICATIONS & PRESS CLIPPINGS, 1999 – PRESENT
(AS OF AUGUST 14, 2013)

PUBLICATIONS:

“Insights: Did FinCEN Just Burst Bitcoin’s Bubble?” Moneylaundering.com News, May 31, 2013 (op-ed piece on FinCEN guidance issued in March 2013).

“Strengthening Our Security: A New International Standard on Trade-Based Money Laundering is Needed Now” (co-authored with Stephen Walls), 44 *Case Western Reserve Journal of International Law* 737 (2012). The article was reprinted in the *Annual Review of International Banking Law & Practice* (Institute of International Banking Law & Practice, 2013). An updated version will be reprinted in *ACAMS Today* (forthcoming 2013). For the original article, see: [http://law.case.edu/journals/JIL/Documents/\(10\)%20Delston%20&%20Walls%20Final.pdf](http://law.case.edu/journals/JIL/Documents/(10)%20Delston%20&%20Walls%20Final.pdf)

“St. Vincent and the Grenadines: Detailed Assessment Report on Anti-Money Laundering and Combating the Financing of Terrorism,” IMF Country Report No. 10/311 (2010), one of four co-authors as part of IMF team, available at: www.imf.org/external/pubs/ft/scr/2010/cr10311.pdf

“Reaching Beyond Banks: How to Target Trade-based Money Laundering and Terrorist Financing Through Preventive Measures Outside the Financial Sector” (co-authored with Stephen Walls), 41 *Case Western Reserve Journal of International Law* 85 (2009). The article was reprinted in the *Annual Review of International Banking Law & Practice* at 11:81 (Institute of International Banking Law & Practice, 2011) and *Combating Money Laundering and Terrorism Finance: Past and Current Challenges*, at p. 737, N. Beekarry, ed. (Edward Elgar Publishing Ltd., 2013). Edited versions were published in *Money Laundering Bulletin* (London, July/August 2009); *NetPractice Exchange*, Vol. 3, No. 3, at p. 16 (November/December 2009); and the American Bar Association’s *International Trade Committee Newsletter*, Vol. IV, No. 1, at p. 12 (November 2009). For the original law review article, see www.martindale.com/international-trade-law/article_Ross-S-Delston_738600.htm

“‘To Protect or Not to Protect, That is the Question’: Statutory Protections for Financial Supervisors – How to Promote Financial Stability by Enacting the Right Laws” (co-authored with Prof. Andrew Campbell, University of Leeds, UK), published in *Current Developments in Monetary and Financial Law*, Vol. 5 (IMF 2008), available at: www.jdsupra.com/legalnews/to-protect-or-not-to-protect-that-is-t-72308/

“The 41st FATF Recommendation: Why preventive measures targeting trade-based money laundering should reach beyond banks,” *ACAMS Today* (July/August 2008), originally published in *Money Laundering Bulletin* (London, March 2008), available at: www.jdsupra.com/legalnews/the-41st-fatf-recommendation-why-preven-24691/

“Bermuda: Detailed Assessment Report on Anti-Money Laundering and Combating the Financing of Terrorism,” IMF Country Report No. 08/105 (2008), one of four co-authors as part of IMF team, available at: www.imf.org/external/pubs/ft/scr/2008/cr08105.pdf

“Viewpoint: Regulatory Blitz for Subprime Players?” *American Banker* (November 9, 2007)(opinion piece about legal issues relating to bank closings).

Phillip A. DeLuca

Phil is a Senior Vice President and Compliance Managing Director for JPMorgan Chase, where he oversees AML / CTF investigations. He has over twenty-five years of security and investigations management experience. During that time, he has conducted and managed investigations involving financial fraud (including credit card and merchant fraud), internal fraud and embezzlements, and AML related crimes for major financial services providers. Through his expertise and leadership, he has closely partnered with various law enforcement agencies on innovative techniques to identify illicit activity through transaction analysis resulting in numerous successful prosecutions.

Most recently, he leads a team of diverse professionals who perform in-depth transactional analysis and background investigations to identify, prevent or respond to financial or reputational exposures. He is a member of an enterprise wide AML Oversight Committee made up of senior level business unit managers tasked to develop effective strategies for corporate-wide implementation in response to regulatory challenges.

He joined one of JP Morgan Chase's predecessor banks in 1996 as Regional Investigations manager in the Audit Department after holding a similar position for a Pennsylvania based financial institution for several years.

EDUCATION

Indiana University of Pennsylvania

BA Criminology, 1978

University of Virginia, Darden Graduate School of Business

Diploma, Strategic Leadership, 1998

Nadim Kyriakos-Saad

Nadim Kyriakos-Saad is Senior Counsel in the Legal Department of the International Monetary Fund. He joined the Fund in 1998.

Kyriakos-Saad also serves as Deputy Director of the Financial Integrity Group at the Fund and head of the Policy Surveillance and Programs Unit.

Kyriakos-Saad specializes in anti-money laundering and combating the financing of terrorism (AML/CFT) issues. He contributes to the design of the Fund's policy on AML/CFT and has carried out a number of country assessments as well as technical assistance missions in Asia, Africa, Europe, the Middle East, and the Western Hemisphere. He has also authored and co-authored a number of key IMF publications on AML/CFT matters.

Kyriakos-Saad received degrees in law and political science from Saint-Joseph University in Beirut, and received an LL.M. in international business law and corporate law from Columbia University in New York.

Before joining the Fund, he practiced law from 1988 to 1992 at Bahige Tabbarah Law Offices in Beirut, Lebanon and from 1993 to 1998 at Baker & McKenzie, in Riyadh, Saudi Arabia.

Kyriakos-Saad fluent in Arabaic (native), French (native), English, and Italian.

SUE E. ECKERT
50 Indian Hill Road
Little Compton, Rhode Island 02837
Email: Sue_Eckert@Brown.edu
Tel: 401-863-3928 (office); 401-862-4060 (cell)

Sue Eckert is an internationally-recognized expert and former senior government official with more than twenty-five years of policy, management, and research experience addressing issues at the intersection of international security and economic policies.

Key Professional Experience

Senior Fellow, Watson Institute for International Studies, Brown University (1998 – present)

- Extensive work on proliferation, terrorism, human rights, and armed conflict issues with international organizations (United Nations Security Council, al-Qaida and Taliban sanctions committees, UN Counter-terrorism Implementation Task Force, OHCHR, European Union, IMF, World Bank, Roma/Lyon Group, FATF) and national governments;
- Direct research projects on terrorist financing and UN sanctions, including establishing and managing international consortium of policymakers and scholars conducting the first comprehensive assessment (quantitative and qualitative databases) of the impacts and effectiveness of UN targeted sanctions;
- Author of research reports, books and articles, as well as workshops and initiatives resulting in policy recommendations to strengthen instruments of international governance (sanctions, export controls, critical infrastructure protection and cybersecurity measures, and global norms);
- Developed and hosted training and simulation workshops for the Security Council, member states, NGOs;
- Member of advisory committees addressing security and technology issues, including the National Academy of Sciences (*Deterring Cyberattack: Informing Strategies and Developing Options for U.S. Policy*), the Resource Group advising the United Nations Secretary General's *High-Level Panel on Threats, Challenges, and Change*, International Peace Institute, and U.S. Naval War College

Assistant Secretary for Export Administration, U.S. Department of Commerce (1993–1997)

- Administered U.S. national security and foreign policy dual-use export control laws and programs. Designed and implemented Clinton Administration export reform agenda, including new nonproliferation initiatives and streamlining of high-tech (computers, encryption) controls;
- Supervised regulatory licensing and policy agency of more than 200 employees and \$20 million budget, developed and implemented agency reorganization, directed comprehensive regulatory rewrite, and managed reform of high-tech (computers, encryption) controls;
- Appointed by President Clinton, confirmed by the Senate. Senior political official for first year of Clinton Administration, reporting to Secretary of Commerce Ron Brown and leading agency transition team;

- Lead policy official at Assistant Secretary level on national security-related interagency deliberations on export control and defense industrial base policies, international negotiations for post-Cold War era multilateral regime (Wassenaar Arrangement), legislative proposals reforming the Export Administration Act and Arms Export Control Act, as well as outreach responsibilities with Congress, industry, media and other constituencies.

Related Experience

Independent Consultant (1990– 1993, 1998 – present)

- Consultant on security, sanctions, illicit finance, and technology policy matters to academic/law/consulting groups such as The Graduate Institute (Geneva), the International Peace Institute, Booz-Allen & Hamilton, Scientific Applications International Corporation, the National Academy of Sciences and other clients.

Visiting Fellow, Institute for International Economics (1998 – 1990)

- Research focused on barriers to US exports and issues affecting high-tech industries, including electronic commerce (coauthor of *Global Electronic Commerce: A Policy Primer* (2000))

Professional Staff, Committee on Foreign Affairs, U.S. House of Representatives (1982 – 1989)

- Lead majority staff of the Committee on Foreign Affairs specializing in economic and security issues (economic sanctions, terrorism and nonproliferation issues, export controls, and trade promotion and finance activities)
- Formulated and negotiated legislative proposals, advising Members of Congress on international trade issues, organizing and conducting oversight hearings and investigations, drafting statements and speeches, and acting as liaison with the Executive branch, industry and media for successive chairmen of the Subcommittee on International Economic Policy and Trade [Jonathan Bingham (D-NY), Don Bonker, (D-WA), and Sam Gejdenson (D-CT),] and Committee Chairman Lee H. Hamilton (D-IN)

Legislative Assistant, Congressman Bob Edgar (D-PA), U.S. House of Representatives (1981 – 1982)

- Advisor to the Congressman on trade, economic and foreign policy issues; prepared speeches, floor statements and legislative proposals and served as liaison with constituent and interest groups

Education

- The Fletcher School of Law and Diplomacy, MA (except formal language proficiency), 1990
- Pennsylvania State University, B.A. History/Political Science, magna cum laude, 1980

Eckert Attachment – Publications

“Sanctions and the UN Security Council,” chapter in *The UN Security Council: From the Cold War to the 21st Century*, co-edited by Sebastian von Einsiedel, David M. Malone and Bruno Stagno Ugarte, forthcoming 2014

The Effectiveness of UN Targeted Sanctions, coedited with Thomas Biersteker presenting the research results of the Targeted Sanctions Consortium, forthcoming 2014

UN Security Council, Sanctions and the Rule of Law, chapter in book of the Australian Research Council project of ANU Centre for International Governance & Justice & the Australian Civil-Military Centre, forthcoming 2014

“The History of Congressional Naming and Shaming,” chapter in *Naming and Shaming Experiences*, Center for Transnational Justice, Marquette University, forthcoming 2013

Due Process and Targeted Sanctions: An Update of the ‘Watson Report,’ December 2012, with Thomas Biersteker
(http://www.watsoninstitute.org/pub/Watson%20Report%20Update%2012_12.pdf)

Terrorist Financing Indicators, Report for United Nations Counter-Terrorism Implementation Task Force, October 2012, with Richard Gordon and Nikos Passas

Designing United Nations Targeted Sanctions: Initial Findings of the Targeted Sanctions Consortium (TSC) Evaluating the Impacts and Effectiveness of UN Targeted Sanctions, August 2012, with Thomas Biersteker and Marcos Tourinho
(http://www.watsoninstitute.org/pub/Designing_UN_Targeted_Sanctions_FINAL.pdf)

“UN Nonproliferation Sanctions,” *International Journal* (Special Issue on UN Sanctions, edited by Jane Boulden and Andrea Charron), Royal Military College of Canada, 2010

“The Politics of Numbers in the Financial ‘War’ on Terrorism,” in *Sex, Drugs and Body Counts: The Politics of Numbers in Global Crime and Conflict*, Peter Andreas and Kelly M. Greenhill, ed., Cornell University Press, 2010

Addressing Challenges to Targeted Sanctions: An Update of the Watson Report, Report for the United Nations sponsored by UNO Academia (Geneva, Switzerland), October 2009 co-authored with Thomas J. Biersteker

“The Use of Financial Measures to Promote Security,” *Columbia Journal of International Affairs*, Fall/Winter 2008

Countering the Financing of Terrorism, co-edited with Thomas Biersteker, London: Routledge, 2008

Strengthening Targeted Sanctions Through Fair and Clear Procedures, Report for the United Nations sponsored by the Governments of Switzerland, Germany, and Sweden, March 2006, co-

authored with Thomas J. Biersteker (Also made an official document of the UN General Assembly and UN Security Council - A/60/887-S/2006/331)

“Critical Infrastructure: The Role of the Private Sector in the New Security Environment,” in *Guns and Butter: The Political Economy of International Security*, Dombrowski, ed., Boulder: Lynne Rienner Publishers, July, 2005

“Lessons from the UN’s Counter-Terrorism Efforts,” in *Profiting from Peace: Managing the Resource Dimension of Civil War*, Ballentine and Nitzschke, ed., Boulder: Lynne Rienner Publishers, June 2005

“Targeted Sanctions and State Capacity: Towards a Framework for National Level Implementation,” and “Consensus from the Bottom Up? Assessing the Influence of the Sanctions Reform Processes,” co-authored with Thomas Biersteker, Peter Romaniuk, and Aaron Halegua, in *International Sanctions: Between Words and Wars in the Global System*, Wallenstein and Staibano, ed., New York: Frank Cass Publishers, February 2005

“Report on the Workshop on UN Sanctions Reform,” convened at the Watson Institute for members of the UN Security Council, July 16-17, 2004, co-authored by the Targeted Financial Sanctions Project, December 2004

“Appendix C,” *Update on the Global Campaign Against Terrorist Financing: Second Report of an Independent Task Force Sponsored by the Council on Foreign Relations*, co-authored by Targeted Financial Sanctions Project (analysis comparing the implementation of international terrorist financing measures in countries of the Islamic world), June 2004

“Report of the Workshop on UN Sanctions Reform,” convened at the Watson Institute for members of the UN Security Council, May 2-3, 2003, co-authored by the Targeted Financial Sanctions Project, November 2003

“Supporting Member State Capacity to Implement Targeted Sanctions,” Part III of *Making Targeted Sanctions Effective: Guidelines for the Implementation of UN Policy Options*, co-authored with Thomas Biersteker and Peter Romaniuk, in Wallenstein, Staibano, and Eriksson, ed., Department of Peace and Conflict Research, Uppsala University, February 2003

“Targeted Financial Sanctions: Harmonizing Legislation and Practices” co-authored with in *Smart Sanctions: Targeting Economic Statecraft*, Cortright and Lopez, ed., New York: Roman and Littlefield, January 2002

Targeted Financial Sanctions: A Manual for Design and Implementation, co-authored with Thomas Biersteker and Peter Romaniuk, Watson Institute for International Studies, October 2001

Restructuring Sanctions Against Iraq, Workshop Report, co-authored by Watson Institute for International Studies and Decision Strategies Department of the US Naval War College, April 2001. Policy memo also prepared and briefed to USG representatives summarizing the findings of workshop co-hosted by the Watson Institute and U.S. Naval War College, May 2001

A Report of the Proceedings of the Targeted Financial Sanctions Simulation, *co-authored*,
Winter 2000

Global Electronic Commerce: A Policy Primer, co-authored with Catherine L. Mann and Sarah
Cleeland Knight, Washington, DC: Institute for International Economics, July 2000

"Targeted Financial Sanctions: A Primer," Background paper for the Targeted Financial
Sanctions Simulation Exercise, co-authored, Naval War College, May 2000

Author of numerous policy papers, memoranda, limited distribution documents, and other
publications in the Executive Branch and Congress

Eckert Attachment – Selected Presentations and Activities

UN Sanctions: Are Coercive Tools Effective? *Presentation of the Initial findings of the Targeted Sanctions Consortium Project*, “Evaluating the Impacts and Effectiveness of UN Targeted Sanctions,” Brown University, 29 January 2013

“*Targeted sanctions, Human Rights and Due Process – The future of the 1267/1989 Al-Qaida sanctions regime*,” United Nations Office of the High Commissioner for Human Rights (OHCHR) and the Permanent Mission of Germany, New York, 4 December 2013

International Crisis Group Policy and Training Workshop, *Do Sanctions Work?* Brussels, 4-5 September 2012

Testimony before the House of Representatives, Homeland Security Subcommittee on Counterterrorism and Intelligence, *Terrorist Financing Since 9/11: Assessing an Evolving al Qaeda and State Sponsors of Terrorism*, 18 May 2012

Targeted Sanctions Consortium briefings on interim research findings to USG interagency group, U.S. Department of State (May 2012) and UN Missions to the United Nations and UN Secretariat officials, Canadian Mission to the United Nations, April 2012

International Studies Association Annual Meeting, *Round Table on “Power in the Global Information Age,”* April 2012

Briefing of UN-EU Seminar on Targeted Sanctions, EU Mission to the United Nations, March 2012

Geneva Centre for Security Policy, United Nations Panel of Experts on Iran Sanctions, Geneva, 16 March 2012

Chair and Moderator of multiple workshops “Enhancing Skills for Sanctions Support and Implementation” for UN Secretariat, Agency officials, Member States, and representatives of regional organizations, hosted by The Permanent Mission of Canada to the United Nations, January and March 2012

Case Western Reserve Law School Symposium, *“Preventing the Financing of Terrorism,” Interim Findings of Terrorist Financing Indicators Project*, March 2012

Targeted Sanctions Consortium Workshop, *Assessing the Impact and Effectiveness of UN Sanctions*, hosted by the UK Foreign Office, London, 2-4 June 2011

Address to International Security Forum on *WMD Proliferation: North Korea and Iran*, Zurich, June 2011

Co-organizer with Naval War College, Strategic Research Department *Workshop on Cybered Conflict, Threat Perceptions, and Institutional Responses: A Comparative Analysis*, 25-26 May 2011

Strengthening the UN Sanctions Tool, UN Luncheon Address sponsored by the Friedrich Ebert Foundation, New York, May 2011

UN Workshop for Enhancing Skills for Sanctions Support and Coordination, Canadian Mission to the United Nations, April 2011

Great Decisions Lecture: *Sanctions and WMD Proliferation*, Pell Center for International Relations and Public Policy, April 2011

Controlling Non-State Nuclear Proliferation, Nautilus Institute for Security and Sustainability and the Carnegie Endowment for International Affairs, Washington, DC April 2011

Seminar for Canadian Foreign Ministry evaluating current policies focused on Iran and North Korea, with recommendations for enhancing the pressure (sanctions) track, Ottawa, Canada, 18 March 2011

International Studies Association: *Global Governance: Political Authority in Transition*, organizer/participant of roundtable on *Global Governance, Security, and Strategies for Cyberspace*, and chair of panels, *The Impact and Effectiveness of UN Targeted Sanctions: A Comparative Analysis*, Montreal, Canada, March 2011

Briefings at US Departments of State and Treasury on financial sanctions, as well as briefing the United Nations Panel of Experts on Iran Sanctions, 2 March 2011

Presentation to brainstorming session with UN Security Council Committee on al Qaeda/Taliban sanctions, reviewing the effectiveness of counterterrorism sanctions and proposing new policies and initiatives for the German chairmanship of the Security Council Committee, 24 February 2011

Member of National Academy of Sciences Committee, *Deterring Cyberattack: Informing Strategies and Developing Options for U.S. Policy* chaired by Dr. John Steinbruner, December 2009-2010

State Department Roundtable: *Enhancing the Effectiveness of Multilateral Sanctions* for officials of the Departments of State and Treasury and intelligence agencies (one of two academics asked to develop and lead session) 29 July 2010

“Watson Update” Briefing to selected group of United Nations policymakers hosted by the Mission of Canada to the United Nations, 26 March 2010.

Policy Briefing of G-8 Counterterrorism Advisors at the Roma/Lyon Group Meeting on ensuring respect for human rights and due process in terrorism designations, Montreal, Canada, (only non-governmental expert invited to brief and participate) 24-25 February 2010

International Studies Association: *Theory vs. Policy? Connecting Scholars and Practitioners*, organizer/participant of roundtable on *UN Sanctions: A Model of Scholar/Practitioner Collaboration*, and chair of panel, *New Perspectives on Targeted Sanctions*, New Orleans, LA, February 2010

Targeted Sanctions Research Consortium Workshop, The Graduate Institute, Geneva, October 2009

United States Institute of Peace, Member of *Financial Sanctions Study Group on North Korea*, Washington, DC, fall 2009

Mission of Switzerland to the United Nations, Presentation of *The Human Rights Challenge to Targeted Sanctions and Its Implications: An Update of the Watson Report*, New York, September 2009

Watson Institute Choices Program' National Security Institute (helped to organize and teach week-long course on national security issues for high school teachers) July 2007, 2008, 2010 and 2011, and Nuclear Issues Institute, July 2009

Trends in International Terrorism Workshop for Secretary of Defense, Office of Policy Planning, Reston, Virginia, July 2009

Rhode Island Capital Forum, Speaker and Facilitator, Providence, RI, March 2009

International Studies Association Convention: Roundtable Chair, *Economic Sanctions*, and Discussant, *Targeted Sanctions: A Critical Review*, New York, February 2009

Stimson Center Seminar: *Targeted Sanctions and Panels of Experts*, Washington, DC January 2009

Workshop sponsored by the Canadian Mission to the United Nations, *Increasing efficiency and accountability in the implementation of Security Council sanctions*, presentation on Due Process and Human Rights Concerns Associated with UN Sanctions, December 2008

New Thinking on UN Sanctions: Objectives, Methods and Consequence, Workshop at the Royal Military College, Kingston, Ontario November 2008

Meeting of Dubai financial community and hawaladars with the United Nations 1267 Committee Monitoring Team to explore challenges in the implementation of financial sanctions against Al Qaida and the Taliban, UAE, October 2008

Chair, Panel Discussion on the International Process on Global Counter-Terrorism Cooperation - *Enhancing Implementation of the UN Global Counter-Terrorism Strategy*, Center for Counterterrorism Cooperation, New York, July 2008

Brown University's Global Governance Conference, presentation, *Global Governance and Terrorism: The Role of the United Nations*, June 2008

Member, *Task Force on Transnational Security Challenges*, International Peace Institute Project on Strengthening Multilateral Security Capacity, April – June 2008

World Conference on Combating Terrorist Financing, Case Western Reserve Law School, April 9-10, 2008

Wake Forest Law Review symposium on Terrorism Finance, April 3-4, 2008

International Studies Association Convention, presentation: *The Politics of Numbers: Measuring Success in the Financial "War" on Terrorism*, March 2008

United States Institute of Peace (Washington, DC) and the International Peace Academy (New York, NY) symposia, *Countering the Financing of Terrorism*, September 2007

RAND conference "*Licit and Illicit Financial Transactions and Workarounds*," Washington, DC, June 2007

Wilton Park conference, *CBRN Terrorism: Mapping the Threat*, "The role of networks in contemporary terrorism: transnational financing and online networks," May, 2007

United Nations Symposium, *Enhancing the Implementation of United Nations Security Council Sanctions*, "The Nature and Scope of Targeting," April 2007

International Peace Academy and the Center on Global Counter-Terrorism Cooperation workshop: "Contributions of Security Council Committees and their Experts," April 2007

Organized Working Group on Improving Financial Sanctions Against Terrorists, with representatives of major U.S. financial institutions and officials of the UN Monitoring Team on for Al Qaida and the Taliban, New York, February 2, 2007

Council on Foreign Relations Podcast, *Time to Reevaluate Approach to Terrorist Finance*, January 31, 2007

Council on Foreign Relations Program, *The War on Terrorism: The Financial Front*, New York, January 10, 2007

Center for Strategic and International Studies, Study Group on Transatlantic Approaches to Sanctions, Report: *Transatlantic Approaches to Sanctions: Principles and Recommendations for Action*, December 2006

Developed and maintain the *Targeted Sanctions Toolkit* providing policymakers with key texts and up-to-date indices of UN sanctions, to assist in the drafting of UN resolutions imposing targeted sanctions.

Briefing at United Nations of the Report: "Strengthening Targeted Sanctions Through Fair and Clear Procedures," sponsored by the Swedish Foreign Ministry, March 30, 2006

Workshop organized by the UN Office of Legal Affairs on the human rights legal obligations of the UN Security Council, February 9, 2006

Expert Roundtable on "Strengthening UN Targeted Sanctions and Due Process," sponsored by the Government of Germany, January 24-25, 2006

Testimony before United Nations General Working Group on Sanctions on terrorism, November 22, 2005

Working Group on Economic Causes of Terrorism, *International Summit on Democracy, Terrorism, and Security*, Madrid (sponsored by the Club of Madrid), March 8-11, 2005

Geneva Centre for Security Policy, Homeland Security Forum, Geneva, October, 2004

Seminar on the Prevention of the Financing of Terrorism, sponsored by the EC and Dutch Presidency of the European Union, Brussels, September 22, 2004

Member of the Resource Group advising the United Nations' High-Level Panel on Threats, Challenges, and Change established by Secretary-General Kofi Annan November 2003-December 2004

Wilton Park Conference "Assessing Contemporary Security Threats," February 2004

"Targeted Financial Sanctions: Lessons from the Interlaken Process," International Peace Academy Conference on Policies and Practices for Regulating Resource Flows to Armed Conflict, May 2002

Working Group 2 (Measures to strengthen the capacity of members to implement sanctions), Swedish-sponsored Stockholm Process on the Implementation of Targeted Sanctions, 2001-2002

Swiss-sponsored panel of experts examining the UNITA financial sanctions and recommending steps to the Security Council to enhance sanctions' effectiveness, summer 2001

American Bar Association National Institute on Economic Sanctions, May 2001

Study Group on Enhancing Multilateral Export Controls for U.S. National Security, Henry L. Stimson Center, in cooperation with the Center for Strategic and International Studies (CSIS). Congressionally mandated report with findings and recommendations to the U.S. Government on the future of multilateral export controls, April 2001

Security Working Group of the *Technology and Security in the 21st Century: Study on Military Export Control Reform*, Center for Strategic and International Studies, 2000-2001

Testimony before the United Nations Security Council Working Group on General Issues on Sanctions, October 2000

Committee on the Science, Technology, and Health Aspects of the Foreign Policy Agenda of the United States, National Research Council of the National Academy of Sciences. Member of a panel of experts that developed recommendations for the Department of State to improve its scientific and technical expertise ("The Pervasive Role of Science, Technology and Health in Foreign Policy: Imperatives for the Department of State"), 1998-2000

Member of official U.S. Delegations and trade missions, including: Wassenaar Arrangement on Multilateral Export Controls, Secretarial Trade Missions, co-host of U.S. Delegation to EuroNaval, COCOM, OECD, the European Community, INTELSAT and others, 1985-1997

Participant, lecturer, and speaker in numerous conferences, including those sponsored by the United States Institute of Peace, the International Peace Academy, Swedish Foreign Ministry, Swiss Confederation, German Foreign Ministry, American Bar Association, Center for Strategic and International Studies, Henry L. Stimson Center, Sam Nunn Policy Forum, U.S. Naval War College, Stanford University's Center for International Security and Arms Control, National Academy of Sciences, National Association of Manufacturers, NATO, European Community, Forum for U.S.-Soviet Dialogue, Aspen Institute, Center for East-West Trade Policy, Federation of German Industry and others, 1985 – 2007

Commentator on issues of terrorism, terrorist financing, and sanctions, including the *New York Times*, National Public Radio (“One to One,” “Talk of the Nation”), Voice of America, Council on Foreign Relations Podcast

Recipient of numerous awards and scholarships, including from the European Community, the Mary Pillsbury Lord Fellowship at the Fletcher School of Law and Diplomacy, and the Women in Government Relations Scholarship

External research grants received from the United Nations Counter-Terrorism Implementation Task Force, United States Institute of Peace, the Governments of Canada, United Kingdom, Switzerland, Liechtenstein, Sweden, and Germany, UNO Academia, the Carnegie Corporation, and the International Studies Association

ELIZABETH JOYCE

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Current position

2012-present Section Chief – Asia Pacific and Western Hemisphere, Counter-Terrorism Committee Executive Directorate (CTED), United Nations, New York

Responsibilities:

- Supervise delivery of consistent and credible analysis and monitoring of implementation of resolution 1373 (2001) and resolution 1624 (2004) to the Counter-Terrorism Committee of the Security Council, including through the organization of official visits of the CTC to States
 - Supervise facilitation of technical assistance and follow-ups to Committee's visits
 - Coordination of outreach to Member States and IROs, including the FATF, IMF, and World Bank. Work with external partners to develop joint strategic and operational approaches on counter-terrorism
-

Education

1997 Oxford University
Doctor of Philosophy in Politics (D.Phil.)

1993 Oxford University
Master of Philosophy in Latin American Studies (M.Phil.)

1984 Manchester Metropolitan University
Graduate Degree in Law (LL.B. equivalency):
Common Professional Examination

1982 Bristol University
B.A. Honours in English

Distinctions

Head of UN delegation to FATF, 2008-2013

Presiding Officer, Joint Appeals Board, United Nations at Vienna, 2001-2005. Elected to the Board in 2000 and to the position of Presiding Officer in 2001, I led the internal system of justice administration for the United Nations Office at Vienna

between 2001 and 2005, clearing 13 cases in 2003, the largest number of cases ever cleared for Vienna in a single year. I served the Board as a volunteer, in addition to full-time duties. Service in this position gave me an intimate understanding of staff rules and regulations, as well as of the institutional and personal challenges that the organization and its staff members face.

Fulbright EU-US Senior Scholar, 1996-98, Georgetown University, Washington D.C.

Editor-in-Chief, *The Oxford International Review*, 1991-92.

Reuters Fellow, Oxford University, 1991-92.

Economic and Social Research Council (ESRC) Scholarship, UK Government, 1991.

Selected publications

Elizabeth Joyce, "Expanding the International Regime on Money Laundering", in: Philip Reichel (ed.), *Sage Handbook of Transnational Crime and Justice*, London: Sage, (2004).

Elizabeth Joyce, "Transnational Criminal Enterprise: the European Perspective", in: Tom Farer (ed.), *Transnational Crime in the Americas*, New York: Routledge (1999), pp.99-116.

Elizabeth Joyce, "Packaging Drugs: Certification and the Acquisition of Leverage", in: Victor Bulmer-Thomas and James Dunkerley (eds.), *The United States and Latin America: The New Agenda*, Cambridge: Harvard University Press (1999), pp.207-217.

Elizabeth Joyce (ed.), *Latin America and the International Drug Trade*, London: Macmillan (1998).

Selected presentations

More than 40 presentations on substantive issues and representing the United Nations, including events organized by or at the Counter-Terrorism Committee (2008), the Center on Global Counter-Terrorism Cooperation, Washington DC (2008), Council of Europe, Strasbourg (2008), Wilton Park (2007), OSCE/USG, Vienna (2005), Security Council Informal Working Group on General Issues of Sanctions (2005), Asian Development Bank, Manila (2004), UNCITRAL, Vienna (2004), Iranian Government/UNODC, Tehran (2003), Kuwaiti Government (2004), Salzburg Seminar (keynote speaker, 2003), World Bank (2005, 2003).

Employment history

- 2008-2012 Section Chief – Europe and South Asia, CTED
- 2007-2008 Coordinator, Working Group on Terrorist Financing, CTED
- 2005-2008 Senior Legal Officer, Counter-Terrorism Committee Executive Directorate (CTED), United Nations, New York

Responsibilities:

- Maintained relations on behalf of the Counter-Terrorism Committee of the Security Council and CTED with 14 States, including consultations with the Permanent Missions and government officials in capitals, where appropriate.
- Served as Coordinator of Working Group on Terrorist Financing, with responsibility for providing policy advice and recommendations to the Head of ATA0 and the Executive Director on substantive issues related to anti-money laundering and counter-financing of terrorism (AML/CFT).
- Drafted and reviewed substantive advice and guidance on issues and trends to the Committee; supervised preparation and drafting of reports.
- Analyzed Member States' legal, institutional and procedural compliance with counter-terrorism standards and drafted preliminary implementation assessments and reports for the Committee.
- Identified institutional and legal domains in which States require technical assistance, and developed projects to facilitate provision of technical assistance.
- Participated in missions to Member States to assess implementation of Security Council resolutions 1373 (2001) and 1624 (1999); drafted preliminary conclusions and reports.
- Maintained collaborative partnerships, with relevant stakeholders, including the Financial Action Task Force, the International Monetary Fund and the World Bank.
- Participated in meetings of the Committee and its Sub-Committees, making oral presentations, when required.
- Represented CTED in external fora and made substantive presentations.

1999-2005 *Money Laundering Officer, Global Programme against Money Laundering and Officer-in-Charge (2004-2005), Global Programme against Money Laundering, United Nations Office on Drugs and Crime (UNODC), Vienna*

Responsibilities:

- Analyzed Member States' legal, institutional and procedural compliance with anti-money laundering and counter-financing of terrorism standards (AML/CFT); identify institutional and legal domains in which States require technical assistance; supervise preparation and draft reports on Member States' legal compliance with AML/CFT standards.
- Led missions to Member States to assess technical assistance needs.
- Designed, planned, implemented and, where required, directly delivered

specialized technical services to Governments in legal and law enforcement fields.

- Managed field advisor programme of long-term, field-based technical assistance for prosecutors, law enforcement officials and financial institution regulatory personnel. Selected and supervised specialist field-based staff, mentors.
- Led collaborative inter-agency partnerships, coordinating activities and implementing joint projects (active partners included the World Bank, the IMF, Commonwealth Secretariat, OAS-CICAD, Asian Development Bank, the US Department of Justice, and the Egmont Group).
- Led teams on substantive projects, managing, developing and training staff.
- Supervised preparation of benchmarks and best practice.
- Responded to technical questions and provide AML/CFT policy guidance, assistance and liaison to UN system, Member States, inter-governmental bodies and other organizations; supervise preparation and drafting of reports on AML/CFT trends to intergovernmental bodies, including CTC, Security Council and General Assembly, the Commission on Narcotic Drugs and the Crime Commission.
- Represented UNODC in external fora and made substantive presentations.
- Certifying Officer for GPML, responsible for the unit budget and all expenditures.
- As Officer-in-Charge, managed the Unit's operations, and ensured budgetary and administrative compliance of technical assistance, including budget preparation, critical indicators and resource allocation; certified unit expenditures and managed implementation/spending rate.

1998-1999 *Senior Research Associate, Institute for European-Latin American Relations (IRELA), Madrid, Spain*

Responsibilities:

- Support to European Commission, the European Parliament, and regional organizations in Latin America for high-level inter-governmental and bi-regional meetings, and other technical seminars and workshops (approximately 30 annually).
- Leadership of research teams, strategic planning and management of research to track and analyse trends in all aspects of European-Latin American relations, with special emphasis on security and transnational crime, drug policy and criminal legislation.
- Research, drafting and editing of books, reports, briefings, articles and other substantive documentation.
- Editing full-length books produced in partnership with the Inter-American Development Bank (one annually).
- Coordination of multi-disciplinary, multi-national research teams on research and analysis projects.
- Supervision of database on Latin American issues for EU institutions with four full-time substantive staff.
- Supervision of production of well-respected and well-known publications to technically challenging specifications.

- Fund-raising.

1996-1998 *Fulbright Senior Scholar, Georgetown University, Washington, D.C.*

Responsibilities:

- Research and lecture on transnational drugs and crime policy.
- Completed book on the illicit drug trade in Latin America, published by Macmillan.
- Published several chapters, articles, and newspaper op-eds.

1993-95 *Senior Editor, Oxford Analytica, Oxford, U.K.*

Responsibilities:

- Management of Latin America and Africa desks of a major international research consultancy, whose clients include the World Bank, the United Nations, the Inter-American Development Bank, and the European Commission.
- Writing and editing, to daily deadlines, reports on a wide range of issues for clients in the private sector, national governments and international organizations.
- Commissioning and editing political and economic research and analysis from specialist contributors, and senior academics to ensure excellent coverage of contemporary issues.
- Twice daily reporting to the managing editor with analysis of substantive issues and operational reports.

1990-91 *Writer/Editor, EFE News Agency (the Spanish national news agency), Madrid, Spain*

Responsibilities:

- Duty editor with responsibility for managing the work of the English Language Service, including choice of news output; the supervision of writers and their work; the assignment of tasks; desk editing; the monitoring of results; liaison with Spanish language services and senior management; and reporting to the editor-in-chief.
- Latin American Affairs editor of the English Language Service, with responsibility for output on Latin American affairs for the 24-hour news service, as well as related news services to specialist overseas clients.
- Writing, editing, and commissioning news stories.

1987-90 *Managing Editor, Institute for European-Latin American Relations (IRELA), Madrid, Spain*

Responsibilities:

- Research and analysis support to the European Commission and the European Parliament for approximately 30 inter-regional and inter-governmental meetings, workshops, and seminars a year.
- Ensuring that all outputs products were available simultaneously in English and Spanish at multiple locations to strict deadlines, and creating the in-house structures to enable this.

- Team member in group responsible for planning and supervision of research output.
 - Recruitment/supervision of a team of editors and translators.
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Languages

English (mother tongue)
Spanish (fluent)
French (reasonable)
German (modest)

References

Malcolm Deas
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St. Antony's College, Oxford
OX2 6JF
UK

Tel: +44-1865-84736. E-mail: Malcolm.deas@sant.ox.ac.uk

Rick McDonell
Executive Secretary
FATF

Kimberley Prost
Ombudsman
United Nations
New York

Name: Eliot Kennedy
Designation: Assistant Secretary
Agency: APG Secretariat
Email: mail@apgml.org, eliot.kennedy@apgml.org
Telephone: + 61 2 9277 0524
Mobile: + 61 (0)409 015 386

I. Professional Experience

- Joined APG Secretariat in March 2001.
- Current position is “2IC” to Executive Secretary of APG Secretariat.
- Since joining the Secretariat, involved in all aspects of the APG’s work program, including strategic planning and management issues, liaison with FATF and attendance at FATF meetings, coordinating the APG's Mutual Evaluation program and conducting mutual evaluations of APG member countries to test their compliance with the international AML/CFT standards.
- Deputy Registrar, Refugee Review Tribunal (Australia), Sydney from 1993 to 2001
- Held various policy positions in the Australian National Crime Authority, 1985 to 1993.

II. Education

- Bachelor of Arts (Honours), Sydney University, 1983
- Graduate Diploma in Communication Management, 1988
- Advanced Diploma of Management, 2012

III. Nationality

- Australian

• **PROFESSIONAL PROFILE** •

Accomplished professional with proven ability to develop, implement, and execute management programs. Recognized as a trusted advisor and partner with senior management. Proven expertise in anti-money laundering, enterprise risk management, risk assessments, strategic planning, accounting, finance, and credit underwriting solidified by extensive training and certifications.

• **CORE COMPETENCIES** •

- Collaboration
- Visioning
- Managerial Courage
- Business Acumen
- Initiative
- Managing Risk
- Strategic Thinking & Planning
- Data Gathering & Analysis
- Emotional Intelligence

• **RECENT CAREER HIGHLIGHTS** •

- Significant contribution in creating KeyCorp's Enterprise Risk Management Program and Policy.
- Instituted and established program oversight and monitoring of KeyCorp's legal entities in the risk assessment process.
- Designed and executed an innovative employee offsite for the KNB RISC Office that incorporated relationship building, experiential learning and personal development; outcomes leveraged to plan annual employee and partners meeting.
- Developed a 10-week legal summer associate internship program for KeyBank.
- Created a volunteer management framework for NewBridge Cleveland.
- Demonstrated outstanding organizational skills resulting in increased attendance at PRMIA 2012 Global Conference; selected to serve as PRMIA's Speaker Coordinator for the Central and South America Regional Chapters.
- Lead initial succession planning efforts in search of Executive Director for Heights Arts.

• **EDUCATION AND TRAINING** •

- University of Chicago, Graduate School of Business, Chicago, Illinois, MBA, Concentration in Finance and Strategy, May 1998.
- Lakeland College, Sheboygan, Wisconsin, Bachelor of Arts, May 1983
- Global Association of Risk Professionals, International Certificate in Banking Risk and Regulation, 2012
- Weatherhead School of Management, Case Western Reserve University, Executive Leadership Certificates, June 2011:
 - Strategic Thinking
 - Designing Solutions for Innovation and Strategy
 - Operational Excellence
 - Project Management
 - Emotionally Intelligent Leader
 - Executive Management
 - Financial Decision Making
 - Communications and Professional Skills
 - Women in Leadership
- Cleveland Bridge Builders Flagship Leadership Program, 2005 - 2006
- American Bankers Association National Compliance School, April 2006
- American Banker Association Graduate School of Compliance School, April 2005

- WILLIE ANN MADDOX -

• WORK EXPERIENCE •

KeyCorp, Cleveland, OH

Enterprise Risk Management

ERM Risk Assessment Manager

June 2010 - Present

- Lead the oversight, management, and administration of lines of business quarterly risk profile process.
- Manage the production of KeyCorp's ERM risk profile, dashboard and related documents for the Board.
- Develop relationships across various stakeholders groups and partnered to ensure effective collaborations.
- Participate in the creation of the ERM Program and Policy, Framework and Procedures; ongoing contributor.

Key National Banking RISC Office

Regulatory Compliance Manager

December 2005 – June 2010

- Managed oversight of KNB Regulatory Compliance Programs providing day-to-day leadership achieving managed program status.
- Established KNB Clean Desk Program; enhanced program sustainability, achieving 107% of target.
- Streamlined number of line of business AML/BSA procedures that increased business writing efficiency and ensured consistency and sustainability.

Key Corporate and Investment Banking

Compliance Analyst

December 2003 – December 2005

- Managed KNB lines of business compliance and participated in firm-wide committees and initiatives.
- Partnered with stakeholders to maintain applicable procedures and management of AML program.
- Facilitated the development, implementation, and promotion of internal control and security awareness.

Strategic Planning Group

Senior Associate Strategic Planning

April 2001 – December 2003

- Participated in corporate-wide strategic planning efforts and projects.
- Created partnership assessment tool to assess LOB strategic needs and business intelligence requirements.
- Performed industry research and trend analysis to support strategic decision-making.

Key Healthcare Finance

Senior Credit Associate Underwriting

August 2000 – March 2001

- Led credit analysis and assessments of Healthcare Segment credit relationships ranging from \$1-\$200 million.
- Performed due diligence analysis of client's credit and assignment of risk rating.
- Monitored covenant compliance requirements of relationships.

KeyCorp - Corporate Finance Management Associate Program

Investment Banking Rotation – McDonald Healthcare & Technology Group

June 1999 – August 2000

- Performed industry and company research.
- Assisted in the creation of a medical device industry index.
- Performed financial analysis to support structuring of mergers and acquisition transactions.

Credit Rotation –Key Healthcare Finance

- Prepared credit write-ups by identifying, researching, evaluating, and incorporating relevant issues.
- Performed statement spreading and analysis of Healthcare Segment clients.
- Prepared appropriate financial models to assist in evaluating a client financial performance.

- WILLIE ANN MADDOX -

Sales Rotation – Key Real Estate Capital Markets, Fannie Mae

- Created collateral materials for the Brokers/Bankers Corner web site.
- Performed due diligence of the Master Forward Financing Agreement between Fannie Mae and Key.
- Created spreadsheet to perform cost/benefit analysis.

Duchossois Industries, Elmhurst, IL

Privately held \$1.2 billion diversified manufacturer engaged in the transportation, consumer products, and defense industries.

Business Analyst Internship

June 1998 - September 1998

- Managed successful system conversion of \$14 million split-dollar life insurance contracts.
- Analyzed existing portfolio investments and prepared performance reports.
- Researched venture capital indexes to identify benchmarks for investments.

Strong Capital Management, Menomonee Falls, WI

National investment management company with \$40 billion under management.

Customer Service Support Representative

October 1996 - June 1998

- Provided investment market activity and account information to shareholder base of 400,000.
- Processed 75-150 trades daily on accounts.
- Contributed to newly hired representatives training in service and call guide procedures.

Firstar Trust Company, Milwaukee, WI

Subsidiary of Firstar Corporation, a bank holding company with \$74.5 billion in assets and over 1,200 offices in 13 states.

Senior Trust Officer & New Business Development Representative

November 1992 - October 1996

- Established qualified retirement plans as a component of companies sponsored employee benefits.
- Recommended investments for portfolio selection aligned with company objectives.
- Delivered workshops for employees and obtained 90% participation.

Elan Payroll Services, Milwaukee, WI, Subsidiary of Firstar Corporation

Sales Officer and Representative

November 1989 - October 1992

- Recommended and analyzed prospective clients payroll processes for efficiency and effectiveness.
- Reduced client exposure to payroll tax liability.
- Developed sales plans for assigned territory to increase visibility of payroll service products.

Elan Insurance Service, Milwaukee, WI, Subsidiary of Firstar Corporation

Accounting Manager and Officer

December 1986 - October 1989

- Effectively managed \$3 million in assets and prepared \$2 million annual budget.
- Decreased processing time for regional sales representative commission payments by 60%.
- Established and grew department to a four-team member and executed training programs to cross-train staff.

Staff Accountant

November 1985 - December 1986

- Assisted in automating the financial institution division accounting reporting, which increased reporting efficiency 30%.
- Prepared monthly, quarterly, and year-end financial statements and tax returns.
- Established product line reporting for financial analysis.

- WILLIE ANN MADDOX -

• ACHIEVEMENTS •

- 1Key Chairman Achievement Award, 2010
- Best in Class Kick-Off Meeting, KeyBank United Way Campaign, 2009-2010
- Leadership Action Project (LAP) Team Leader, Cleveland Bridge Builders, 2005-2006
- Elsa Pavlik Member of the Year Award, Women's City Club, 2005
- New Member of Year, Women's City Club, 2003

• LICENSES / CERTIFICATIONS •

- C.P.A., Ohio Society of CPAs, Member Since 2000
- CAMS, Association of Certified Anti-Money Laundering Specialists, Member Since 2008
- CGMA, Chartered Global Management Accountant, American Institute of CPAs, Member 2012
- Securities Series 7, 63, FINRA (Inactive)

• PROFESSIONAL AFFILIATIONS •

- Professional Risk Managers' International Association (PRMIA), Speaker Coordinator 2013 - Present
- Case Western Reserve University School of Law, Guest Lecturer 2008 - Present
- Heights Arts Collaborative, Inc., Trustee and Past Treasurer 2008 - Present
- BSAAG SAR & NBFI, ABA MLIG Open Compliance Committees 2008 - Present
- Minority MBA Student Case Competition, KeyBank & Fisher College of Business, Judge 2009 - Present
- Ohio Society of CPAs, International Tax & Accounting Conference Advisory Board 2009 - 2011
- Ursuline College, Arts and Science Department Advisory Board 2007 - 2009
- ABA Regulatory Compliance Conference Advisory Board 2006 - 2008
- Friends of the Cleveland Public Library, Past Trustee and Treasurer 2002 - 2008
- ABA National and Graduate Compliance School Advisory Board 2006 - 2007
- The Women's City Club, Past Board of Director 2003 - 2006

Rick McDonell Career Summary

Qualifications: BA, LLB, Graduate Diploma in Commercial Law (Monash University, Australia).

- Three years as Sub-Dean university hall of residents: overseeing 180 undergraduate and post-graduate students in their academic and non-academic pursuits.
- Two years in private legal practice with a law firm in Australia. Wide variety of legal work including common law, criminal law, litigation, tax law and administrative law.
- Four years as an attorney with a Royal Commission (Special Prosecutor investigation) investigating large scale national and international white collar fraud and associated organized crime. Contributed to a report to government which led to a seminal realignment of Australia's approach to organized crime policies, laws and practices.
- Ten years as a legal adviser and National Coordinator of organised crime task forces for Australia's National Crime Authority (a federal and state specialised organised crime investigation agency). Providing legal advice on investigation powers and policies. Leading many police and multi-agency task forces on a wide variety of criminal investigations at a national and international level, including domestic and international money laundering, large scale commercial fraud, organized crime groups (mafia, Chinese triad and local groups). In this capacity, author of: "Taken to the Cleaners-Money Laundering in Australia" which set out the variety of money laundering methods and cases extant at the time, examined the relevant laws and proposed policy, legal and operational changes to the system in place at the federal and state level.
- Three years as a federal prosecutor with Australia's Director of Public Prosecutions. Wide variety of prosecutions at a federal level. Building briefs of evidence, advocacy in criminal and appeal courts, conducting mutual legal assistance and extradition cases, providing international cooperation including: under treaty, court-to-court and police-to police information and evidence exchange.
- Founder and First Executive Secretary of the Asia Pacific Group on Money Laundering (the Asia Pacific regional group of the FATF). Building the initial momentum with countries in the region, drafting the formal basis for the group, instituting and carrying out a country assessment program for money laundering and terrorist financing.
- Two years as Chief of the UN Global Programme against Money Laundering. Managing policy, legal and technical assistance program delivery to countries in Africa, South America, the Caribbean and south East Asia.
- Executive Secretary of the Financial Action Task Force since 2007.

Curriculum Vitae

Patrick O'Sullivan

**Manager : Financial Intelligence Unit
New Zealand**

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New Zealand**

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JOSÉE NADEAU

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PROFESSIONAL PROFILE

A bilingual economist with excellent leadership and interpersonal skills and with extensive experience in the Canadian government advising Ministers and senior executives with respect to numerous public policy and economic issues. These include combating financial crimes, financial sector policy development and regulation, trade negotiations, tax policy development, macroeconomic policies, currency and counterfeiting, Aboriginal economic development and capacity building. Several years of management experience and in representing and negotiating for Canada internationally in various fora, in coordinating numerous federal organisations and in consulting with diverse key stakeholders, nationally, regionally and internationally. With integrity and respect, a dynamic team player, a strategic and analytical thinker and a results-driven executive.

CAREER HIGHLIGHTS

2009 to date

Senior Chief (EX-2), Financial Crimes - International, Financial Sector Policy, Department of Finance Canada

- Lead the Canadian delegation to the Financial Action Task Force (FATF) and to its regional bodies in the Caribbean, South America and the Asia Pacific region, including the coordination of up to twelve departments and agencies. In particular: led the review of the 2012 international standards for anti-money laundering and countering the financing of terrorism and proliferation as well as the development of the new assessment methodology; lead the on-going assessment of FATF countries and high-risk countries' compliance against the FATF standards; and lead the on-going policy development. Support Canada at the G7/8, G20, the United Nations and the Organization of American States with respect to financial crimes and financial integrity.
- Contribute to and lead various Canadian policy and legislative development and initiatives with respect to financial crimes, including preventive measures in the financial sector, targeted financial sanctions, national risk assessment, technical assistance and corporate transparency. Engage with other countries, the private sector, the International Financial Institutions, and other key stakeholders on relevant international and domestic issues.
- Manage 6 staff and oversee a travel budget of about \$150,000 as well as membership and capacity building contributions to relevant international organizations.

2007 to 2009

Director (EX-1), Aboriginal Economic Development, Indian and Northern Affairs Canada

- Provided leadership and coordination for Aboriginal economic development consultations within the Department and the Federal Government, with Aboriginal Governments and organizations, and Provincial and Territorial Governments (e.g., consultations on a new Aboriginal Economic Development Framework). Provided secretariat support to the National Aboriginal Economic Development Board appointed by Order in Council to advise federal Ministers on Aboriginal economic development.
- Led and coordinated strategic planning and performance management for the Economy Strategic Outcome and Logic Model of the Department, including: the Management Reporting

and Results Structure; the Departmental Performance Report; Report on Plans and Priorities; and internal annual planning and quarterly reporting on outcomes and activities.

- Manage a newly created unit of 10 staff with a budget of about \$2.7 million, and oversaw the development of another unit of 15 people, with concurrent management responsibility for 6 months.

2002 to 2007

On Interchange Canada Program from the Federal Government to the Bank of Canada

- As an Advisor to the Strategic Leadership Team, contributed to the management of the Bank of Canada department responsible for the currency function and for operations in financial system and funds management, including 300 employees and a \$90 million budget. For example, coordinated department-wide strategic activity such as: integrated medium-term and annual planning (including financial, human, physical and technological resources) as part of the Bank-wide planning exercise; and work environment and workforce planning using the business excellence framework of the National Quality Institute.
- Led the Bank's comprehensive program of currency counterfeiting situational analysis and interventions, in collaboration with a multidisciplinary team of Bank's currency experts, the Royal Canadian Mounted Police (RCMP) and the Department of Justice.
- As a Senior Regional Representative (Currency, Atlantic Provinces, and based in Halifax from 2002 to 2005), was responsible for currency communication and distribution system in the region. This included operations, research and analysis as well as consultations, representations and partnerships with senior representatives from the financial community, business sector, law enforcement, crown prosecutors and federal departments as well as liaison with the media.
- Managed the office of the Atlantic Provinces and shared leadership of the Bank's 5 regional offices for currency with 20 employees and a budget of a few \$ million.

2000 to 2002

Director (Acting EX-1/EX-1), Economic Analysis and Statistics, Fisheries and Oceans Canada

- Led economic research, analysis and policy development on wide-ranging fisheries and oceans issues, including: a comprehensive review of fishing licence fees; first ever costing of First Nations access to fisheries and the development of a licence buy-back program; economic impact of new species at risk legislation; and leading the Canadian delegation to the Organization for Economic Cooperation and Development (OECD) Committee on Fisheries.
- Responsible for trade policy, statistical analysis and surveys, data management and systems. Managed a division of 20 employees and a budget of a few \$ million.

1999 to 2000

Project Leader (ES-6), Financial Sector Policy, Department of Finance Canada

- Led and coordinated federal-provincial relations to address policy, legislative and regulatory gaps and overlaps in the banking, insurance and securities sectors in Canada. Coordinated international relations and conducted research in the financial sector.

1996 to 1999

Economic Counsellor (ES-5/ES-6), Canadian Delegation to the OECD, France

- Represented Canada at the Economic and Development Review Committee (EDRC) responsible for the OECD country economic studies and peer reviews; was also elected EDRC vice-chair. Monitored various OECD committees overseeing macroeconomic issues as well as taxation,

labour market, financial sector and investment with both a national and international focus, and advised the Canadian government.

1988 to 1996

Analyst-Economist (ES-1 to ES5), Department of Finance Canada

- In the Financial Sector Policy Branch of Finance Canada, participated in the General Agreement of Trade in Services (GATS) negotiations for the financial sector, including with regard to China and Taiwan's accessions to the World Trade Organization (WTO). Supported discussions under the North American Free Trade Agreement (NAFTA) and bilateral trade relations. Undertook consultations with executives from the Canadian financial sector and coordinated Canada's trade position. Developed policies and participated in legislative processes in relation to foreign financial institutions in Canada.
- In the International Trade and Finance Branch, conducted research and analysis of macroeconomic issues in Japan and other Asian countries in support of meetings of the Minister of Finance and senior management for the Group of 7/8, the Asia Pacific Economic Cooperation (APEC), the OECD and the International Financial Institutions. Coordinated Canadian positions with other departments and participated in relevant international meetings.
- In the Tax Policy Branch, participated in the development and design of policy and legislation to replace the federal manufacturers' sales tax with a new value-added tax, the Goods and Services Tax (GST), in particular for the financial sector. Then developed policies for a new tax relationship with First Nations in the context of self-government, including a discussion paper on an innovative tax framework. Also led an economic study in five First Nations communities to assess the potential tax base. Consulted with other federal departments and First Nations Governments and organizations.

EDUCATION

1987 to 1989 : M. Sc. Economics, Université de Montréal, Québec, Canada

1984 to 1987 : B. Sc. Economics, Université de Montréal, Québec, Canada

PROFESSIONAL DEVELOPMENT TRAINING

2009: FATF assessor training for country assessments against the FATF Standards.

2007: Leadership and Engagement of Citizens, Stakeholders and Partners, at Canada's School for Public Service.

2006: Coaching and Communication, at a Bank of Canada workshop for Leaders.

2003 and 2004: Media Spokesperson, offered by Professional Communication Firms.

2001: Coaching for Breakthroughs and Commitment, at the Canadian Center for Management Development.

LANGUAGE AND SECURITY

Fully fluent in French and English (Second Language Proficiency at EEE (i.e., Exempt) as assessed by the Federal Government); Top Secret security clearance.

REFERENCES

Available on request.

Name: Patrick John O'Sullivan

Date of Birth: 4 June 1951

Nationality: New Zealand

Education: Masters Degree: Master of Transnational Crime Prevention
University of Wollongong, Australia.

Profile:

- 40 years of law enforcement and intelligence experience including 8 years as Officer-in-Charge/Manager of a Financial Intelligence Unit.
- 11 years in the international arena.
- An internationally recognized specialist in the establishment, operation and management of Financial Intelligence Units including FIU IT.
- Extensive experience of financial analysis, financial investigation, general criminal investigation and asset forfeiture and recovery.
- Highly experienced designer and deliverer of training in all these areas.
- Extensive experience of legislative drafting and drafting of implementing regulations and guidelines particularly in the area of anti-money laundering and countering the financing of terrorism (AML/CFT).
- Extensive experience of negotiating with and advising national governments on the implementation of AML/CFT legislative and enforcement regimes, the establishment and management of Financial Intelligence Units and the regulation of financial and non financial institutions and businesses in the area of AML/CFT.
- Extensive experience of advising private sector institutions on the implementation of AML/CFT legislation, regulations, guidelines and the requirements of various international standards and norms in AML/CFT.
- 17 years experience as a delegate to international organisations including the Egmont Group, The Financial Action Task Force (FATF), FATF Style Regional Bodies (FSRBs), Europol and Interpol.
- Intimate knowledge of and a strong advocate of the implementation and enforcement of UN Conventions, resolutions and other international standards in the areas of drugs, organized crime, anti money laundering and countering the financing of terrorism.

Current: Manager New Zealand Financial Intelligence Unit

employment:

The New Zealand Financial Intelligence Unit (FIU) is a semi autonomous government agency hosted and resourced by the New Zealand Police Department.

It currently has 21 staff principally made up of civilian personnel in the roles of Intelligence Analysts at various levels and Intelligence Support Officers and Intelligence Support Assistants. A small management team is comprised of The Manager, Operations Supervisor, Training and Compliance Manager, IT Systems Manager and Research and Policy Officer.

The FIU provides financial intelligence relating to suspicious transactions, money laundering, the financing of terrorism and other serious offences. Its services are a response to the functions and powers set out in the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 (AML/CFT Act). In this way the FIU helps the New Zealand Government fulfil its obligations to the Financial Action Task Force, the Government's organised crime strategy and the prevention and detection of serious crime.

The FIU collects and collates information provided by external parties and reporting entities, especially banks and other financial institutions. After the required analysis, intelligence products are sent to other investigative and intelligence units within Police, sector supervisors, domestic partner agencies and to relevant international agencies.

The Anti-Money Laundering and Countering the Financing of Terrorism Act 2009 (AML/CFT Act) comes fully into force on 30 June 2013. This places new obligations and extends the coverage of previous legislation and it will greatly increase the number of reports sent to the FIU.

In February 2012 I was employed by the New Zealand Government to help prepare the FIU, Sector Supervisors and reporting entities for the main implementation of the AML/CFT Act. To that end I am employing new staff in key roles, reassigning existing staff, have acquired and am in the process of implementing a new IT solution, am in the process of reorganising the operational structure of the FIU, implementing an entirely new internal training regime and supervising the preparation and publishing of best practice guidelines and reporting guidelines for reporting entities. I am also assisting New Zealand Police in the design and delivery of an anti-money laundering course for investigators which will be added to the curriculum of the Royal New Zealand Police College in 2013.

**Former
Employment:**

I am a member of the New Zealand AML/CFT National Coordination Committee which is comprised of various government agencies and is charged with coordinating all AML/CFT activities across the government sector and with overseeing all policy matters and legal drafting and implementation issues related to AML/CFT.

2008 - 2012 - Chief, Expert Services Unit and Senior Advisor – Intelligence

and Law Enforcement Systems – Information Technology Service – United Nations Office on Drugs and Crime, Vienna, Austria.

2006 – 2008 – Law Enforcement Advisor – Global Programme against Money Laundering – United Nations Office on Drugs and Crime.

2001 – 2006 – Independent Consultant specializing in financial crime and Financial Intelligence Units. Worked as a consultant to the Legal Department of the International Monetary Fund, The Asia Development Bank, The World Bank, Deloitte Forensic, Asia/Pacific, ITC Australia and Control Risks Group, Philippines.

1969 – 1978, 1982 - 2001. New Zealand Police. 25 years in intelligence and criminal investigation. Coordinator, Money Laundering with the National Proceeds of Crime Bureau 1994 - 96 and Officer-in-Charge of New Zealand Police Financial Intelligence Unit 1996 – 2001 at rank of Detective Senior Sergeant.

Countries of work experience:

New Zealand, The Philippines, Indonesia, United States, Cook Islands, Samoa, Vanuatu, Fiji, Tonga, Niue, Mongolia, Singapore, Thailand, Malaysia, Palau, The Federated States of Micronesia, Nigeria, Zambia, Namibia, Kosovo, South Africa, Tanzania, Ethiopia, Kenya, The Maldives, The Netherlands, Montenegro, Azerbaijan, Finland and Denmark.

Relevant work experience

Expert advisor to the Information Technology Service of the United Nations Office on Drugs and Crime, Vienna. Provision of specialised advice in the development and deployment of software applications for financial intelligence units, law enforcement agencies, anti-corruption agencies, regulatory and intelligence agencies. Representative at various international and regional organisations such as the Egmont Group and FSRBs.

Law Enforcement Advisor to the United Nations Office on Drugs and Crime Global Programme against Money Laundering. Delivery of technical assistance and training to UN Member States in the area of financial analysis, financial investigation, establishment of Financial Intelligence Units and specialised investigative agencies. Development of training packages in the areas of financial analysis, financial investigation and FIU operations and management. Focal point for relevant International Organisations such as the International Monetary Fund, The World Bank, Egmont Group, FSRBs, Interpol, Europol, FATF etc.

Independent Consultant specializing in financial crime and Financial Intelligence Units. Worked as a consultant to the Legal Department of the International Monetary Fund, The Asia Development Bank, The World Bank, Deloitte Forensic, Asia/Pacific, ITC Australia and Control Risks

Group, Philippines with principal focus being the delivery of technical assistance to Financial Intelligence Units particularly in the developing world.

Development of New Zealand's Financial Intelligence Unit. Position Held: Officer-in-Charge. Duties: Planned, facilitated and implemented the formation of New Zealand's Financial Intelligence Unit involving establishment of an operational unit, IT support and financial intelligence/analysis methods. Researched similar units operating world-wide and developed the operational systems and procedures. Assisted with drafting of New Zealand's Financial Transactions Reporting Act 1996. Compiled a set of money laundering guidelines for financial institutions including banking, insurance, retail investment and wholesale banking industries and casinos. Completed draft guidelines for the legal profession. Duties also included managerial, administrative, public relations and human resources functions.

Management of staff encompassing supervision, training and evaluation.

Development of partnerships at the wider law enforcement level with other government agencies and departments involving training and education, information sharing and mutually beneficial interaction.

Provision of a financial intelligence support role to investigations particularly those concerned with money laundering offences and asset forfeiture actions. Liaison and contact with international organisations and enforcement agencies to facilitate co-operation and encourage mutual cooperation and assistance in development of financial intelligence and investigations

Member of New Zealand delegation to FATF, APG and Egmont Group 1996 – 2001.

FATF NCCT Asia Pacific Regional Review Group. Position held: Principal contact and Team Leader – Cook Islands. Duties: Collated and analysed on and offshore banking and financial services legislation, practices and regulation in the jurisdiction. Facilitated the establishment of a New Zealand Overseas Development Agency (NZODA) funded project to provide technical assistance to the Cook Islands Money Laundering Authority in establishing a Financial Intelligence Unit in the Cook Islands.

Significant achievements:

In 2008 the establishment and management of UNODC project GLOT29 – (Intelligence and Law Enforcement Systems) to design, develop, deploy and support software applications for intelligence and law enforcement agencies worldwide including Financial Intelligence Units. Two applications in particular, goAML and goCASE, are now recognised as industry leaders and standard setters in the areas of financial intelligence and case

management.

ADB TA Project – The Philippines

Member of Control Risks Group (Philippines) international consultant team contracted to ADB to establish an anti-money laundering legislative and institutional regime in the Philippines and to assist the Philippines in satisfying FATF requirements for removal from the FATF NCCT list.

This project included the drafting and passage of anti-money laundering laws and implementing rules and regulations, the establishment of a financial intelligence unit with full IT capacity, the establishment of money laundering investigative capacity within Philippines law enforcement agencies and the design and delivery of training for financial, legal and law enforcement agencies on the anti-money laundering regime.

Involvement in this project included:

- Assisting with the assessment of drafted laws, regulations and implementing rules and providing advice on required amendments to meet current international standards.
- Assisting with the drafting of guidelines to financial institutions to implement anti-money laundering laws and regulations.
- Assisting with the establishment of the Anti-money Laundering Council Secretariat (AMLC), which acts as the FIU, including the preparation of an organisation structure, standard operating procedures, position and person specifications, operational work methods and procedures, IT requirements and training needs.
- Assessment of institutional capacity of law enforcement agencies.
- Assessment of training needs of regulatory and law enforcement agencies.
- Design and delivery of training to regulatory and law enforcement agencies.

ADB TA Project – Indonesia

Member of Deloitte Touche (Australia) international consultant team contracted to ADB to establish an anti-money laundering legislative and institutional regime in Indonesia and to assist Indonesia in satisfying FATF

requirements for removal from the FATF NCCT list.

Project included the drafting and passage of anti-money laundering laws, decrees, regulations and guidelines, the establishment of a financial intelligence unit with full IT capacity (PPATK), the establishment of money laundering investigative capacity within Indonesian law enforcement agencies and the design and delivery of training for financial, legal and law enforcement agencies on the anti-money laundering regime.

Involvement in this project included:

- Implementation of anti-money laundering legislation;
- Preparing draft regulations for the anti-money laundering law;
- Assisting concerned agencies in developing a comprehensive program, strategy, and work plan based on the FATF 40 + 9 Recommendations;
- Identifying institutional reforms needed to comply with FATF requirements and other international initiatives;
- Implementation of anti-money laundering legislation;
- Assisting in the establishment of the PPATK. Assisting in elaborating the roles and functions of supporting institutions and interactions with other regulatory and law enforcement agencies in Indonesia;
- Providing capacity building and training, and necessary budget allocations to facilitate the prompt commencement of operations;
- Preparing a detailed training needs assessment and program for the staff of key institutions responsible for implementing the anti-money laundering regime;
- Developing appropriate governance structures for PPATK and other relevant institutions;
- Developing a program and conducting capacity-building training seminars for staff of key government institutions;
- Developing guidance notes for financial institutions in the reporting of suspicious transactions;

- Identifying and developing coordination mechanisms and procedures for mutual assistance programs;
- Developing an awareness program to educate regulated entities, the private sector, and the public on money laundering as a crime; the new anti-money laundering law and regulations; and their impact;
- Considering and designing plans within realistic timeframes that could be achievable and acceptable to the Government, ADB and APG;
- Recommending further TA needed to sustain efforts and to improve implementation capabilities and compliance, and providing a plan and timetable for such assistance.

**Employment
Record**

2012 - Present

Manager, New Zealand Financial Intelligence Unit

2008 - 2012

Chief, Expert Services Unit and Senior Advisor to the Information Technology Service of the United Nations Office on Drugs and Crime, Vienna, Austria

2006 - 2008

Law Enforcement Advisor, the United Nations Office on Drugs and Crime Global Programme against Money Laundering

2001 - 2006

Consultant to Asia Development Bank (ADB) through Control Risks Group (Philippines);

Consultant to the ADB through Deloitte Touche, Asia/Pacific;

Consultant to the ADB through ITC, Australia;

Consultant to Legal Department, International Monetary Fund, Washington DC;

Consultant in IMF/APG/Forum Islands Secretariat project to strengthen anti-money laundering and financing of terrorism legislative regimes in Pacific Islands Forum member countries and to establish Financial Intelligence Units in each country. Participating countries included Fiji,

Samoa, Vanuatu, the Cook Islands, Niue, Tonga, Palau and the Federated States of Micronesia. Project also included studying the feasibility of establishing a regional support entity for the Financial Intelligence Units in the participating countries;

Consultant to the World Bank – Financial Integrity Unit.

1996 - 2001

Employer: New Zealand Police Department

Position held Detective Senior Sergeant, Officer-in-Charge of the Financial Intelligence Unit, Police National Headquarters (PNHQ).

1995 - 1996

Employer: New Zealand Police Department

Position held Detective Senior Sergeant, Coordinator Money Laundering – National Proceeds of Crime Bureau, PNHQ.

1993 - 1996

Employer: New Zealand Police Department

Position held Detective Sergeant / Analyst - Threat Assessment Unit, PHNQ.

1990 - 1993

Employer: New Zealand Police Department

Position held Detective Sergeant, Officer-In-Charge/Investigations/Intelligence, Interpol PNHQ.

1982 - 1990

Employer: New Zealand Police Department

Positions held Detective/ UB Sergeant/Detective Sergeant/Prosecutions Officer/ Officer-in-Charge (Fraud)/ Officer-in-Charge (Sexual Abuse Team) – Wellington, Lower Hutt, Masterton. Officer-in-Charge CIB Upper Hutt (Relieving).

To:1969 - 1978

Employer: New Zealand Police Department

Positions held Cadet/Constable / Detective Constable/ Detective

Referees:

Mr Rick McDonell
Executive Secretary
Financial Action Task Force
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Ms Cecilia Marian
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IMF Headquarters, Washington DC
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CAREER PROFILE

I have more than thirty years experience working for the Canadian Government and NATO. My NATO career has been focused on developing partnership policies and mechanisms to strengthen peace and security. This includes working closely with nations, international organisations, in particular - EU, IOM, OECD, OSCE, UN and WB, as well as civil society. In practical terms these efforts have resulted in the establishment of ongoing NATO programmes for the destruction small arms and light weapons, munitions and land mines. More recently I have taken on responsibility for the design and conduct of the NATO Building Integrity Programme to reduce the risk of corruption and promote good practice in the defence and security sector. This includes working closely with nations to developed tailored action plans to strengthen governance the security sector as well as the development of education and training products.

Key areas of expertise: Strong analytical skills, ability to manage complex tasks and build effective partnerships with governments, other international organizations, business and civil society; Leading new initiatives and embedding them into policy and procedures, providing advice on future areas of cooperation and charting a way forward in a complex environment. Team leader, able to provide sound advice on implementation of priorities and monitoring of the results.

In addition to assignments with the Public Service of Canada, my NATO career has led me to Norfolk, Kyiv and Brussels. I have a reputation for team building, excellent networking with a wide civil-military community, a results-oriented manager with strong strategic skills, ability to work in a demanding multi-cultural environment, identifying solutions to overcome obstacles, and a track record of success.

In 2002, I was awarded the Queen Elizabeth II Golden Jubilee Medal for outstanding public service.

EDUCATION

Graduate Diploma in Conflict Resolution, University of Lancaster, UK, 1980
Pre-Masters Political Science, Carleton University, Ontario, Canada, 1979
B.A. Major in Political Science, Collège Universitaire de Saint Boniface, Manitoba, Canada, 1978
Pre-BA, History, Université Sainte-Anne, Nova Scotia, Canada, 1975

CAREER PROFILE

Present	Senior Officer & Head Building Integrity Programme, Political Affairs and Security Policy, NATO Headquarters, Brussels
2003-2008	Head of Section, Partnership for Peace and Cooperation, NATO Headquarters, Brussels
2000-2003	Advisor on Ukraine, Defence Planning and Cooperation, NATO Headquarters, Brussels
1999-2000	Head, NATO Liaison Office Kyiv, Ukraine
1998-1999	Staff Officer, Defense Planning and Cooperation NATO Headquarters, Brussels
1990-1998	General Policy Officer, Civil Emergency Planning Directorate, NATO Headquarters Brussels
1989-1990	Senior Administrator Operational Analysis Division Supreme Allied Command Atlantic, Virginia, USA
1988-1989	Senior Liaison Officer Search and Rescue, Canadian Coast Guard, Ottawa
1984-1987	Emergency Planning Officer Transport Canada, Ottawa
1982-1984	Policy Analyst, Transport Canada, Ottawa
1981-1982	Information Officer Energy, Mines & Resources, Halifax

Curriculum Vitae

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Web: http://www.cj.neu.edu/faculty_and_staff/research_faculty/nikos_passas/

1. EDUCATIONAL BACKGROUND and QUALIFICATIONS

1985-1988: University of Edinburgh, Law Faculty, Centre for Criminology and Social and Philosophical Study of Law; Ph.D. in Sociology of Deviance.
1982-1983: Articled Clerk; qualified to the Bar (Athens, Greece) in June 1983.
1981-1982: University of Paris - Paris II; Master's in Criminology and Penal Science; D.E.A. (Diplôme d' Etudes Approfondies).
1976-1981: University of Athens, Law Faculty; LL.B.

2. EMPLOYMENT

2003- Professor, Northeastern University, School of Criminology and Criminal Justice
2013 Visiting Professor, Qatar University Law College
2013- Faculty, International Anti-Corruption Academy, Vienna, Austria
2012- Adjunct Law Professor, Case Western Reserve University, Financial Integrity Program.
2009-2010 Visiting Fellow, Max Planck Institute for Foreign and International Criminal Law, Freiburg, Germany.
2003 Visiting Professor, Northeastern University, College of Criminal Justice.
1995-2002 Associate Professor, Temple University.
1995-1996 Visiting Professor, University of Wales College of Cardiff, School of Social and Administrative Studies.
1989-95 Assistant Professor, Temple University.
1989: Research Associate, Law Faculty of University College London.
1989: Post-Doctoral Fellow, University of Edinburgh, Centre for Criminology (C.C.S.P.S.L.).

1984-85: Council of Europe Visiting Fellow, University of Edinburgh, Centre for Criminology (C.C.S.P.S.L.).

3. PUBLICATIONS

Books

- 2013 Financial Transnational Crimes. London: Ashgate.
- 2010 Essays in Honor of Prof. C.D. Spinellis: Interdisciplinary Criminological Pathways (co-edited with N. Courakis et al.). Athens: Sakkoulas.
- 2008 The Evolving Challenge of Identity-Related Crimes: Addressing Fraud and the Criminal Misuse and Falsification of Identity (with Christopher Ram and Demosthenis Chryssikos). Milan: International Scientific and Professional Advisory Council of the United Nations Crime Prevention and Criminal Justice Programme (ISPAC).
- 2007 The United Nations Convention against Corruption as a Way of Life. (with Dimitri Vlassis). Milan: International Scientific and Professional Advisory Council of the United Nations Crime Prevention and Criminal Justice Programme (ISPAC).
- 2006 Legislative Guide for the Implementation of the United Nations Convention Against Corruption. Vienna: UN Office of Drugs and Crime. Available at: http://www.unodc.org/pdf/corruption/CoC_LegislativeGuide.pdf
- 2006 A Comparative Analysis of National Anti-Corruption Legislation and Programmes. (New York: UN Development Programme).
- 2005 Migrant Labor Remittances in South Asia (with S. Maimbo, R. Adams, R. Aggarwal). Washington, DC: The World Bank.
- 2005 Regulating Hawala and other Informal Funds Transfer Systems. (Ed.) Washington, DC: IMF.
- 2005 Informal Value Transfer Systems and Criminal Activities. Cahier 2005-1. Research and Documentation Centre. The Hague: Ministry of Justice, The Netherlands.
- 2004 It's Legal, but It Ain't Right: Harmful Social Consequences of Legal Industries (Ed. with Neva Goodwin). Ann Arbor: University of Michigan Press.
- 2003 International Crimes (Ed.). Aldershot: Dartmouth.
- 2003 Legislative Guide for the Implementation of the United Nations Convention Against Transnational Organized Crime. Vienna: UN Office of Drugs and Crime;

and Vancouver: International Centre for Criminal Law Reform and Criminal Justice Policy.

- 2002 Upperworld and Underworld in Cross-Border Crime (Ed. with Petrus van Dyune and Klaus von Lampe). Nijmegen: Wolf Legal Publishers.
- 1999 Informal Value Transfer Systems and Criminal Organizations: A Study into So-called Underground Banking Networks. The Hague: Ministry of Justice, The Netherlands.
- 1999 Transnational Crime (Ed.); Aldershot: Dartmouth.
- 1997 The Future of Anomie Theory (Ed. with Robert Agnew); Northeastern University Press.
- 1995 Organized Crime (Ed.); Aldershot: Dartmouth

Articles

- Forthcoming "Anti-Corruption Measures and their Effects on Procurement Processes in Four Countries (with Jorge Claro)
- Forthcoming "Unexplained Wealth Orders" (with D. DeVille, P. Kirkbride and J. White).
- Forthcoming "Global Anomie Theory and Terrorism" (with Anamika Twyman-Ghoshal)
- Forthcoming "Counter-terrorism, Remittances Regulation and Development"
- Forthcoming "Development and Anti-Corruption Agendas Aligned: the Contribution of the UNCAC".
- Forthcoming "Re-aligning the Legal and the Legitimate" in The International Spectator.
- In press "Transparency and Compliance Programs of Multinational Companies in Latin America" (with Matthias Kleinempel) Organizational and Management Journal
- 2013 "Introduction to Transnational Financial Crime" In N. Passas (Ed.) Transnational Financial Crime. London: Ashgate
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Reports

- 2013 Report on the effects of the Anti-corruption agenda on Procurement practices. Report to the Inter-American Development Bank (IDB) and the International Development Research Center of Canada (IDRC).
- 2010 Financial Vigilance and Sanctions against Proliferation of WMD. Report to the European Union Commission.
- 2010 Terrorism Finance Indicators. Report to the UN Security Council Monitoring Team (on al Qaeda and the Taliban sanctions).
- 2010 Assessment Method of Anti-Corruption Initiatives and Plans. Report to UN Office of Drugs and Crime and the Office of Comptroller General of Brazil.
- 2009 and 2008 Legal Library of Anti-corruption Laws and Cases, Reports to the UN Office of Drugs and Crime and to the International Association of Anti-corruption Authorities (IAACA).
- 2008 Understanding Terrorism Financing. Report prepared for the Major Commission of Inquiry into the Investigation of the Bombing of Air India Flight 182
- 2007 Procurement Fraud and Corruption. Report to the Institute for Fraud Prevention.
- 2006 Best Practices in Corruption Asset Recovery. Interim Report to NORAD
- 2006 Terrorist Finance, the Nexus with Transnational Organized Crime and the Trade in Diamonds, Gold and Tobacco. Report to the National Institute of Justice (NIJ).
- 2004 The Trade in Gold: Case Studies of Financial Misconduct. Report to FinCEN, US Treasury Department.

- 2004 Informal Value Transfer Systems and Criminal Activities in Holland, USA, and India. Report to WODC, Ministry of Justice of The Netherlands, The Hague.
- 2004 The Trade in Diamonds: Vulnerabilities for Financial Crime and Terrorist Finance. Report to FinCEN, US Treasury Department.
- 2003 Third-Party Checks, Indicators of Abuse and Money Laundering in the Middle East Expert Report to US District Court for the District of New Hampshire.
- 2003 Informal Value Transfer Systems, Money Laundering and Terrorism. Report to the National Institute of Justice (NIJ).
- 2002 Report to Congress in Accordance with Section 359 of the USA Patriot Act (with FinCEN's Non-traditional Methodologies Section).
- 2002 The Mechanics and Settlement Process in Hawala Networks. Report for the (UK) Crime Prosecution Service.
- 2002 Informal Value Transfer Systems, Money Laundering and Terrorism. Interim report to Financial Crimes Enforcement Network (FINCEN) and the National Institute of Justice (NIJ).
- 2002 US Law Enforcement Difficulties With Traditional IVTS: Focus on Hawala. Report to Financial Crimes Enforcement Network (FINCEN).
- 2002 Hawala Banking and Indications of Abuse. Report to the (UK) National Crime Squad.
- 2001 Illegal Transfer of Funds and Repatriation of Assets to Victim Countries to the Executive Director of the United Nations Office for Drug Control and Crime Prevention.
- 1999 Underground Banking Systems and Criminal Organizations to the Ministry of Justice of The Netherlands, The Hague.
- 1998 Handbook of Corruption (part 1 of 3) to the United Nations Centre for International Crime Prevention, Vienna.
- 1997 Economic, Transnational and Illegal Aspects of NRM (New Religious Movements) Activities, to the German Parliament (Bundestag), Enquête Kommission "Sekten und Psychogruppen", Bonn.
- 1997 Regional Initiatives Against International Corruption, to the United Nations Crime Prevention and Criminal Justice Program, Vienna.
- 1995 Report on Eurofraud: Greece, to European Commission/European Documentation and Research Network on Cross-Border Crime, The Hague (with C.D.Spinellis and D.D.Spinellis).
- 1990/1 Frauds Affecting the Budget of the European Communities Budget, interim and final reports to the Commission of the European Communities (Anti-Fraud Unit: UCLAF).

- 1989 Criminal Courts, Sentencing Powers and Trends in Sentencing in Scotland: 1945-1986, report to the Scottish Home and Health Department.
- 1985: Merton's Anomie Theory Revisited, report to the Council of Europe.
- 1985: Trends in Probation in Scotland, interim report to the Scottish Home and Health Department.

Conference Papers

Presented papers, inter alia, at the Stockholm Criminology Prize, International Peace Academy, 11th and 12th United Nations Congress on Crime and Crime Prevention (Thailand and Brazil), 2nd World Summit of Prosecutors and Attorneys General (Qatar), Global Congress of the International Association of Penal Law (Turkey), Global Forum VI (Qatar), APEC Symposium on Alternative Remittance Systems (Japan), DFID/World Bank International Conference on Migrant Remittances: Development Impact, Opportunities for the Financial Sector and Future Prospects (England), Inter-American Development Bank International Forum on Remittances (Washington, DC), UNICRI conference on the UN Convention against Corruption (Italy), UN ISPAC Conferences on “Responding to Transnational Crime”, “Identity Crimes” and “Breathing Life into the UN Convention against Corruption” (Italy), the U.S. National Press Club, the 8th International Anti-Corruption Conference, the 4th Inter-American Tele-Conference (Respondacon) on Fraud and Corruption in Government (Peru), World Bank conference on Illicit Flows, three World Congresses of Sociology, the Oñati International Institute of the Sociology of Law (Spain), the National Strategy Information Center, and annual meetings of the American Sociological Association, the American Society of Criminology, the Law and Society Association, the European Society of Criminology, the British Sociological Association, the (US) Eastern Sociological Society, the Society for the Study of Social Problems, the Academy of Criminal Justice Sciences, the 10th International Congress of Criminology, the British Criminology Conferences, the 13th Cambridge Symposium on Economic Crime, the Liverpool bi-annual conferences on Business Crime and Corruption, and Bentley College conferences on Business Ethics.

Scholarly Seminars

Invited to give seminars and lectures at the Tsinghua Law School of Beijing, Chongqing University of Post and Telecommunications, Southwest University of Political Science and Law (China), State University of Rio de Janeiro Law School, University of Campinas (Brazil), University of Qatar School of Law (Qatar), Free University of Brussels (Belgium), Free University of Amsterdam, University of Rotterdam, University of Maastricht, University of Leiden, the Transnational Institute (The Netherlands), Stockholm University (Sweden), University of Oslo (Norway), United Nations Interregional Crime and Justice Research Institute, University of Trento, Catholic University of Milan Sacro Cuore, University of Rome III (Italy), Charles University (Czech Republic), University of Edinburgh (Scotland), Cambridge University, Hull University, Oxford University, Sussex University (England), University of Lille (France), Cardiff University, University of Swansea (Wales), University of Granada Law School, Onati Institute (Spain), Max Planck Institute for Foreign and International Criminal Law, Freiburg, University of Würzburg Law School (Germany), Graduate Institute of International Studies (IUHEI), Geneva (Switzerland), Panteion University, University of Athens Law School (Greece), University of West Indies (Trinidad and Tobago), Austral University (Argentina), American University Law School, Harvard University (Kennedy School of Government), Brown University (Watson Institute), Boston University Law School, University of Texas – Austin (LBJ School of Public Affairs), Hampshire College, Kent State University, University of Oregon,

Northern Arizona University, Wharton School of Business (University of Pennsylvania), Detroit University Mercy Law School. Pennsylvania State University, Rutgers University, Tufts University, Villanova University Law School, University of Pittsburgh, University of Maryland, Case Western Reserve School of Law, University of Toledo (Ohio), University of Delaware, Naval Postgraduate School (Monterey, CA), RAND Corporation (Washington, DC).

Professional Seminars

A series of presentations on money laundering, corruption, sanctions, informal value transfer systems, hawala, funding of terrorism, bank fraud and other transnational crimes to United Nations Canada Mission., New York; seminar on UN Security Council sanctions United Nations General Assembly, New York.

United Nations Office of Drugs and Crime High-Level Seminars on the UN Convention against Corruption in Sofia, Bulgaria; Cairo, Egypt; Pretoria, S. Africa.

United Nations Development Programme, New York.

International Association of Anti-Corruption Authorities (IAACA) seminar on corruption, Beijing, Chingqong and Shanghai, China.

Giessbach III International Seminar on Countering Terrorist Financing, Lucerne, Switzerland

Austrian government International Summer School of Anti-corruption, Vienna, Austria.

Caribbean FATF and GAFI SUD, Seminar on trade-based financial misconduct, Guatemala City, Guatemala.

IMF and Arab Monetary Fund, Abu Dhabi, UAE

International Association of Anti-Corruption Authorities (IAACA), Chongqing and Shanghai, China, and Marrakech, Morocco.

International Fund for Agricultural Development and Inter-American Development Bank meetings on the regulation of remittances

Commission of the European Union, Brussels, Belgium

SOCA training of expert witnesses, Cambridge, UK

Bank of Greece, Athens, Greece.

Swiss Federal Department of Foreign Affairs, Public-Private Cooperation in Combating the Financing of Terrorism, Zurich, Switzerland.

Republic of Ireland Department of Justice, Equality and Law Reform (DJELR) -

Senior Executive Programs in Justice Policy, Boston.

US Department of Defense seminar on the Underground Economies in Arab and Muslim Societies, Baltimore, DE.

FDIC and Dept. of Justice, Miami, FL.

FBI Financial Crimes Intelligence Unit, Washington, DC.

FBI/International Law Enforcement Academy, Budapest, Hungary.

FinCEN (Financial Crimes Enforcement Network) – various meetings and places,

Pacific Rim Int'l Conference on Money Laundering and Financial Crimes, Bangkok, Thailand (with Sam Maimbo – World Bank);

OCDETF (Organized Crime and Drug Enforcement Task Force) meetings in Idaho and Hawaii;

Boston Police Department Task Force on the Victims of Human Trafficking. Boston, MA.

United Arab Emirates Central Bank International Conferences on Hawala, key-note speaker, Abu Dhabi, UAE (1st, 2nd, 3rd International Conferences on Hawala);

Federal Reserve and High Intensity Financial Crimes Areas (HIFCA) Task Force New York meeting on financial crime;

Bundeskriminalamt (BKA – German Federal Police), Wiesbaden, Germany,

Bundesanstalt fuer Finanzdienstleistungsaufsicht, Bonn, Germany,
Egmont Group, annual meeting in Oaxaca, Mexico;
North Carolina Governor's Crime Commission – Safe Communities Conference in
Charlotte, NC, USA
Anti-Mafia task force (DIGA), Milan, Italy;
Hellenic Financial Intelligence Unit (SDOE), Athens, Greece;
FLETC (Federal Law Enforcement Training Center) advanced seminars on money
laundering in Chicago and S. Francisco;
International Institute for Strategic Studies (IISS) meeting on "Strategic Implications of
Developments in Information Technology", Washington, DC;
US Defense Science Board, Intelligence Support to Special Operations, Department of
Defense, Virginia;
US National Institute of Justice Research in Progress Program in Washington, DC.
Ohio Bank Fraud Working Group meeting,
National Academy of Sciences meeting on transnational organized crime, Washington,
DC;
Resolution Trust Corporation (RTC) annual meeting, Pennsylvania.

4. WORK EXPERIENCE

Consultancies

Since 1989, I have conducted research and carried out projects for several law firms, private security firms, as well as for the (US) National Academy of Science, the Commission of the European Union, the German Parliament, the United Nations Crime Prevention and Criminal Justice Programme and the International Crime Prevention Centre, the UN Development Programme, UN Office of Drugs and Crime, the UN Monitoring Group on al Qaeda and Taliban finances, the World Bank, the IMF, Inter-American Development Bank and a number of governments.

I have written reports and provided advice to both prosecution and defense teams in various cases involving informal money transfers, terrorism, and financial misconduct in the Americas, Europe, South Asia and the Middle East.

In the past years, I have advised FinCEN (US Treasury Department) on hawala and other informal value transfer systems, crime vulnerabilities in the online payment infrastructure and commodities trade, as well as the development of red flags and guidelines for the industry. On similar issues I advised prosecuting and defense teams in the UK, India and US (Michigan, California, Tennessee, New York, Virginia, Puerto Rico, New Hampshire).

I have drafted the Legislative Guide for the Implementation of the UN Convention on Transnational Organized Crime on behalf of the The International Centre for Criminal Law Reform and Criminal Justice Policy (ICCLR), Vancouver, and the United Nations Office on Drugs and Crime (UNODC).

I consulted with the World Bank on the regulation of remittances in South Asia with emphasis on Pakistan, India, Sri Lanka and Bangladesh, as well as with the IMF on a study concerning the regulation of Informal Fund Transfer Systems.

I conducted a comparative study of national anti-corruption programs on behalf of the United Nations Development Programme, another study on the effects of money transfer/remittance national and international regulation on behalf of the World Bank, and a study on illegal logging and money laundering in South East Asia.

I consult regularly with private financial institutions and government agencies on regulatory and AML/CFT, anti-corruption and security/terrorism issues. Recent projects include work with the Norwegian Ministry of Foreign Affairs, the Caribbean Financial Action Task Force, OECD, DfID and the Finnish Ministry of Foreign Affairs on corruption asset recovery,

free trade zones and financial crime, conflict reduction, anti-corruption and development policy and technical assistance issues respectively. Recent and current projects also include advice to the Commission of the European Union on organized crime and security policy issues, advice to the UN Monitoring Group on financial sanctions against al Qaeda and the Taliban, the monitoring of the implementation of the UN Convention against Corruption and the UN convention against transnational organized crime, “gap analysis” for the implementation of the UNCAC in Caribbean islands, testimony before the Canadian Commission of Inquiry into the bombing of Air India relative to terrorist finance, research into charities and the finances of al Qaeda, and regulation of the Netherland Antilles Free Trade Zone. The main current project focuses on national anti-corruption laws and practices for the benefit of UNODC and the International Cooperation Department of the Supreme People’s Procuratorate of P. R. China. Finally, participated in a project funded by the Organization for Security and Cooperation in Europe sought to construct a preventive strategy against human trafficking, by looking into relations between this illicit market, official corruption, money laundering and interfaces with legal social actors.

Select recent activities:

- Course Director, Ethics and Compliance Officer Association (ECO) for the development and delivery of online courses on corruption aimed at compliance officials globally.
- Consultant to the Centre for International Rule of Law and Anti-Corruption, Doha, Qatar for the development of its training and educational program.
- Consultant to the UN Development Programme on the development and delivery of anti-corruption courses in leading Arab Law Schools
- Consultant to the Controladoria Gerao da Uniao (CGU) Brazil for projects on anti-corruption self –assessment methods based on performance indicators and benchmarks and on research on anti-corruption authorities
- Programme Consortium Member for the development of a MA degree in anti-corruption, International Anti-Corruption Academy (IACA), Vienna, Austria - http://www.iaca.int/index.php?option=com_content&view=article&id=142&Itemid=1 .
- Advisory services and collaboration with the International Anti-Corruption Academy (IACA) on the development, planning and delivery of courses
- Team Leader for a European Union project looking into the control against proliferation/WMD finance;
- Serving on international organizing committees for the organization of the Global Forum and the Conference of States Parties to the UN convention against corruption in Doha, Qatar;
- Scientific advisor for the World Summit of Attorneys General and Ministers of Justice in Bucharest, Romania;
- Scientific committee of ISPAC annual conferences;
- Consultant to the World Bank on mapping the global architecture of asset recovery – StAR initiative
- Consultant to the World Bank on the regulation of remittances
- Consultant to the UNODC and World Bank for the creation of a Knowledge Management Consortium on Governance and Anti-Corruption issues (bringing Northeastern together with the UNODC, UN Development Programme, UNICRI, OECD, Council of Europe, the World Bank, Asian Development Bank, Basel University Institute of Governance, U4 Anti-Corruption Resource Center, Reuters Foundation and others).

- Member of Academic Advisory Board for the new UN/Interpol International Anti-Corruption Academy in Austria.

Chairman of QCo Holdings, a Washington, DC based consulting company in matters of governance, corruption, security, financial crime and regulation.

Research

- 2013- Visiting Law Professor, Qatar University College of Law for lectures on corruption and financial crimes.
- 2012- Adjunct Law Professor, Case Western Reserve University, for the development a delivery of a MA degree on Financial Integrity for compliance officers and regulators globally (together with the heads of Egmont Group of FIUs and of the FATF).
- 2011- Co-ordinator of global academic initiative against corruption (ACAD) with the UN Office of Drugs and Crime and the support of the OECD, the Intl Bar Association, and dozens of universities and international organizations.
- 2012- Head of Faculty Development and Planning, International Governance and Risk Institute, London
- 2009-2010 Visiting Fellow, Max Planck Institute for Comparative and International Criminal Law, Freiburg, Germany
- 2008- Honorary Visiting Professor, Southwestern University of Political Science and Law, Chongqing, China.
- 2003- Full Professor at Northeastern University, College of Criminal Justice. Current research revolves around informal value transfer systems, funds transfer and funding of terrorism, trade diversion, crime relative to digital currency payments, the social organization and control of corruption, white-collar crime, organized crime, and transnational crime, as well as theories of crime.
- 2002-2003 Visiting Scholar at Northeastern University, College of Criminal Justice.
- 1995-2002 Associate Professor, Temple University.
- 1995-1996 Visiting Professor at University of Wales College of Cardiff, School of Social and Administrative Studies.
- 1989- Assistant Professor, Temple University. Comparative studies of theoretical, empirical and policy issues in economic crime and deviance. Main projects: 'frauds in the European Community'; the BCCI affair and international banking regulation; undercover operations; new religious movements and deviance.
- 1989: Research Associate (March-August) at the Law Faculty of University College London. Research into 'European Community Frauds'. A comparative study (United Kingdom, Germany, France and Italy) involving interviews of officials and experts in this field, as well as collection, analysis and synthesis of existing data.

1989: Post-Doctoral Fellow (January-April) at University of Edinburgh, Centre for Criminology (C.C.S.P.S.L.). Research on the Scottish criminal courts, their powers of sentencing and trends in sentencing in post-war Scotland.

1984-85: Council of Europe Visiting Fellow at University of Edinburgh, Centre for Criminology (C.C.S.P.S.L.). Study of British sub-cultural theories and Merton's anomie theory; authored report.

Teaching

2003- Courses on terrorism, corruption, organized crime and white-collar crime at Northeastern University and lectures at universities around the world.

1995-2002 courses on criminological theory, organized crime, white-collar crime, transnational crimes, and comparative criminal justice.

1996 Visiting Professor, Temple Law School summer course on International Criminal Law at the University of Athens.

1996 Visiting Professor, Univ. of Cardiff post-graduate seminars on theories of crime and white-collar crime.

1989-96 Assistant Professor, courses on Theories of Crime, Organized Crime, White-Collar Crime, Regulation of Financial Institutions, Deviance and New Religious Movements, Comparative Criminal Justice.

1987-88: Tutor in Theoretical Criminology, Sociology of Punishment and Criminal Justice, at University of Edinburgh, Centre for Criminology (C.C.S.P.S.L.).

Service

2012- Member of Global Task Force on Corruption sponsored by India's Central Vigilance Commission.

2011- American Society of Criminology (ASC) representative to the United Nations

2009-11 Chair, American Society of Criminology, Division of International Criminology

2011 Member Steering Committee and Adjudication Panel for International Anti-Corruption Public Announcement Video, sponsored by the Hong Kong Independent Commission Against Corruption.

2001- Expert reports, advice and consultation on several cases involving corruption, governance, regulatory compliance, money laundering, terrorism, hawala and other informal value transfer systems in all continents.

2008 Scientific adviser for the 3rd World Summit of Prosecutors, Attorneys General and Ministers of Justice held in Bucarest, Romania, December 2008.

2006-7 Expert Witness, Canadian Commission of Inquiry into Terrorism.

- 2007 Scientific Advisor/Coordinator for the ISPAC conference on Identify Theft and Fraud. Courmayeur, Italy.
- 2006-9 Member of Interpol Advisory Board, International Anti-Corruption Academy, Vienna, Austria
- 2006 Scientific Advisor/Coordinator for the ISPAC conference on Breathing Life into the UN Convention against Corruption. Courmayeur, Italy.
- 2006-09 Rapporteur General on Terrorist Finance for the International Association of Penal Law World Congress in Istanbul, Turkey.
- 2006 Participating Expert in AGIS/Europol/LKA (Landeskriminalamt) NRW/Ghent University project on “Money transfer methods, terrorist finance and criminal activities”.
- 2006- Expert/Member, Democratic Governance Practice Network (DGPNet) Advisory Group, UN Development Programme (UNDP).
- 2005 Scientific adviser for the 2nd World Summit of Prosecutors, Attorneys General and Ministers of Justice held in Doha, Qatar, November 2005.
- 2005- Board of Directors, International Society of Criminology.
- 2005-8 Member of Steering Committee (the the World Bank, IMF, DFID, S, Africa Ministry of Finance) on a comparative study on “Tools for Implementing FATF Recommendations”, conducted by Genesis/Finmark and sponsored by the UK DFID and FIRST.
- 1997 Expert Witness on Financial and Deviant Aspects of New Religious Movements before the German Parliament.
- 1994- Director; member of the board of directors of the Research Committee on Deviance and Social Control - International Society of Sociology.
- 1993 Co-organiser and moderator of a Symposium on "Cross-Border Banking Offenses and Regulation: Policy Lessons from the BCCI Affair" at Temple University.
- 1991-92 Chair, Local Organizing Committee for the 1992 Law and Society Association meeting in Philadelphia.
- 1989- Organizer and Chair of sessions at American Society of Criminology, British Sociological Association, and XII World Congress of Sociology meetings.
- Editorial**
- 2004- Editor-in Chief, Crime, Law and Social Change: An International Journal.
- 2013- Member of Editorial Board, International Anti-Corruption Journal
- 2011- Member of Editorial Board, Asian Journal of Criminology
- 2012- Member of Scientific Committee, Organizational and Management Journal

- 2007- Member of Editorial Advisory Board, Open Criminology Journal.
- 2006- Member of Scientific Board, Centre for Information and Research on Organised Crime (CIROC), Free University of Amsterdam and Erasmus University of Rotterdam.
- 2006-9 Member of Editorial Board (anti-money laundering issues), Complinet
<http://www.complinet.com/home/>
- 2005- Associate Editor, International Journal of Comparative and Applied Criminal Justice.
- 2003- Associate Editor; European Journal on Criminal Policy and Research.
- 2003-04 Member, Program Committee of the 2004 Amer. Soc. of Criminology meeting.
Responsible for the organization of all theory and research on violence and terrorism panels.
- 1997- Reviewer for manuscripts submitted for publication in American Journal of Sociology, Social Problems, Law & Society Review, Criminology, Theoretical Criminology, Journal of Research in Crime and Delinquency, Justice Quarterly, Sociological Inquiry, Crime, Law and Social Change, Rationality and Society, Social Justice, International Journal of Comparative and Applied Criminal Justice, Sociological Quarterly, International Journal of Offender Therapy and Comparative Criminology, Criminology and Public Policy, Security Journal, International Political Sociology, Open Criminology Journal and numerous university presses and other publishers of academic works.
- 1994-2004 Series Editor on "Transnational Crime"; Northeastern University Press.
- 1997-2004 Senior Editor, Crime, Law and Social Change.
- 1994-96 Associate Editor, Crime, Law and Social Change.
- 1993-97 Associate Editor, Justice Quarterly.
- 1999-00 Member, Program Committee of the 2000 Amer. Soc. of Criminology meeting.
Responsible for the organization of all white-collar and corporate crime panels
- 1997-98 Member, Program Committee of the 1998 Amer. Soc. of Criminology meeting.
Responsible for the organization of all white-collar and corporate crime panels.

5. GRANTS/SCHOLARSHIPS

- 2011-2012 Private sector sponsored project under the auspices of ISPAC-UNODC on comparative study into anti-corruption compliance programs in private sector with special emphasis on oil and gas sector.

- 2011-2012 Northeastern Center for Emerging Markets Small Grant (under Dept. of Education) for survey of compliance programs in private sector in the Caribbean and S. America (paper to be published with Matthias Kleinhempel, Austral University, Buenos Aires).
- 2011-2012 Northeastern University study with global financial institutions on compliance improvement approaches based on computer sciences and automated processes (jointly with College of Computer Sciences).
- 2011 Controladoria Gerao da Uniao (CGU – Auditor General’s Office) research on Anti-Corruption Authorities
- 2009-10 Commission of the European Union. Financial Vigilance and Counter-Proliferation Sanctions.
- 2008- United Nations Security Council 1267 Committee “Indicators of Terrorism Finance”.
- 2007-10 United Nations Office of Drugs and Crime and International Association of Anti-Corruption Authorities (IAACA) “Knowledge Base on Anti-Corruption”; collection and analysis of 191 countries’ corruption laws, cases, national anti-corruption plans/strategies and national anti-corruption bodies. In coordination with the UN Office of Drugs and Crime, UNICRI, World Bank StAR (Stolen Asset Recovery Initiative) Program.
- 2006 NORAD (Norwegian Agency for Development Cooperation) “Corruption Assets Tracing and Repatriation”.
- 2006 Institute for Fraud Prevention “Procurement Fraud and Corruption”.
- 2005-07 National Institute of Justice (NIJ) “Understanding and Improving Law Enforcement Responses to Human Trafficking” (with J. McDevitt and A. Farrell).
- 2003-05 National Institute of Justice (NIJ) “Terrorist Finance and the Nexus with Transnational Organized Crime: Commodities Trade and the Social Organization of al Qaeda Groups”.
- 2004 US Institute of Peace “The Financial Controls of Terrorism” (with T. Bierstecker and S. Eckert).
- 2002-03 National Institute of Justice (NIJ) “Informal Value Transfer Systems, Terrorism and Money Laundering”.
- 2002-03 “Paving the Ground for a Center for International Human Rights” at Temple University.
- 2002-03 Temple University Research Incentive Fund “Global Networks of Crime and Corruption”.
- 2001-03 Financial Crimes Enforcement Network (FinCEN) “Informal Value Transfer Systems”.

- 2002 “Trade Diversion, Money Laundering and Terrorism”, CLA research incentive grant.
- 2002 “Transnational organized Criminals as Political Actors”. CLA research incentive grant.
- 2001 Ministry of Justice, The Netherlands. Follow-up research into “Underground Banking Systems and Criminal Organizations”. Ministry of Justice, The Netherlands.
- 2001 Temple University grant in aid of research for a project on international accounting frauds.
- 2001 Temple University summer scholarship for research on international accounting frauds.
- 1999 (Spring Semester) Sabbatical Leave for research on “Global Networks of Crime and Corruption: The Social Organization of Serious Misconduct”.
- 1998-99 Ministry of Justice, The Netherlands. Research into “Underground Banking Systems and Criminal Organizations”.
- 1994-95 European Documentation and Research Network on Cross-Border Crimes grant for research into European Union frauds.
- 1994-95 Lilly Foundation Fellowship for the preparation of a course on Transnational Crime.
- 1993 Temple University summer scholarship for research on BCCI.
- 1993 Temple University Grant-in-aid for research into the BCCI affair.
- 1991- I have received from Temple and Northeastern Universities salary increases for meritorious achievements in research and service in 12 different years.
- 1991-3 Fund for the Improvement of Post-Secondary Education (FIPSE) summer grants in-aid-of-teaching awards.
- 1989-90 Research award from the Commission of the European Community for a study into European Integration.
- 1989 Post-Doctoral Fellowship, Univ. of Edinburgh.
- 1985-88 University of Edinburgh Scholarship.
- 1984-85 Council of Europe Fellowship for research in criminological theory.
- 1980 Exhibition Scholar; National Foundation for Research (Greece).
- 1979: Universidad Menendez Pelayo Scholarship for a month's course on "History of Spanish Art and Literature" in Santander, Spain.

1978 Study scholarship from the French Ministry of Culture for a course on "Modern and Contemporary Theatre" in Paris, France.

6. LANGUAGE SKILLS

- English (native speaker competence)
- Greek (native speaker)
- French, Spanish and German (fluent)
- Italian (very good)
- Portuguese, Danish and Swedish (working knowledge).

Background

An astute, results-oriented leader with proven success in implementing strategic, enterprise-wide initiatives. A strategic and creative thinker that can adapt to new situations quickly and effectively. Exceptional technology, program management skills.

Professional Expertise

- Demonstrated ability to resolve challenges and achieve results in a complex organization structure
- Highly motivated and innovative with excellent organization, presentation and communication skills
- Flexible and articulate individual with excellent analytical and business analysis skills.
- Well-developed program management skills with proven success implementing cross-enterprise initiatives and systems
- Over thirty years of experience in finance, accounting, risk management, compliance and strategic initiatives
- Extensive negotiations and consensus build skills.
- Experienced international speaker on AML and risk related matters

Accomplishments

- Provided strategic leadership for RBC's Anti Money Laundering (AML) and Anti-Terrorism Program since its inception
- Successfully implemented RBC's (AML) & Anti-Terrorism Compliance Regime and created an AML Professional Centre
- Led the implementation of major cross-enterprise systems including (over \$100mm): AML Training, Suspicious Transactions Reporting, Large Cash Reporting, Control List Filter and AML Detection Systems
- Navigated RBC through challenging regulatory issues and developed AML Compliance programs to meet US AML requirements
- Managed a global team of over 250 AML Professionals
- Transformed the AML Operations centre into a financial intelligence unit, recognized as an industry leader
- Transformed the approach to AML monitoring resulting in significant reduction in false positives and improvement in suspicious activity reporting
- Member of the Advisory Council for National Security for the Prime Ministry of Canada (2009 -2012)
- Participated on various international AML forums and operational risk including, the Institute of International Finance and the Risk Management Group of the Basel Committee on Banking Supervision, Wolfsberg and United Nations
- Working with the centre for the protection of children to identify and stop commercial child pornography
- Successfully negotiated regulatory issues and impacted new regulations
- Participated in a number of new acquisitions, new product developments and remediations to ensure AML Controls are built into the process
- Led major client investigations
- Opined on high risk client approvals, demarkets and advised the Reputational Risk Oversight Committee with respect to high risk client cases submitted for approval to the committee
- Led the development of a number of AML risk management tools including, Inherent Risk Assessment, Program Assessment and Client Risk Scoring
- Achieved cost savings of several million dollars
- Led the development of leading edge dashboards and metrics
- Set-up and led the Association of Anti-Money Laundering Specialists in Canada
- Led the development of RBC's Anti-Bribery/Anti Corruption Program
- Worked with various agencies including RCMP, CSIS and the Centre for the Protection of Children on various cases
- Developed and implemented RBC's Risk and Control Self-Assessment and OpRisk capital allocation methodology
- Restructured and redesigned CIBC's Technology Asset Management Group
- Participated in the restructuring of the Workers' Compensation Board (WCB)
- Redesigned control process that saved millions of dollars in fraud

- Participated in the design, development and implementation of major systems
- Led and successfully facilitated process re-engineering efforts
- Managed multiple project teams as part of a systems implementation, including data conversion and data clean up and risk and controls team as part of consulting engagements.
- Led and coordinated budgeting, financial and operational planning
- Developed and implemented integrated planning and reporting models for operating revenues, investment returns and consolidated balance sheet
- Identified, analyzed and evaluated critical weaknesses of systems as part of systems development
- Created activity based costing systems that resulted significant cost savings for organizational units as well as improving the management reporting systems
- Led various audits, tax reviews and consulting engagements

Employment History

RBC Financial Group, VP and Global Head Anti-Money Laundering	Oct 2001 – Current
RBC Financial Group, Director, Operational Risk	Oct 1998 – Oct 2001
CIBC, Director, Technology Risk Management	Feb 1998 – Oct 1998
Workplace Safety and Insurance Board - Senior Manager, Risk Management & Controls	Nov 1990 – Feb 1998
Senior Audit Manager/Senior Consultant – Various CA/Consulting Firms	Sept 1982 – Oct 1990

Other Skills/Accomplishments

- Co-Chair of the Canadian Chapter of Association of Anti Money Laundering Specialists (ACAMS)
- Member of the Advisor Board of ACAMS
- Member of the Canadian Financial Coalition against Child Pornography
- Very high level of proficiency in software packages, including, spreadsheets, databases, word processors, graphic packages and other software packages such as Microsoft Access and Developers Toolkit
- Developed various user applications on Microsoft Access and Lotus Approach
- Developed and delivered financial and computer training
- Lectured at Richview Collegiate on Small Business Management and various PC software products
- Presented various conferences for Operational Risk and Anti-Money Laundering, including for the US Treasury/Middle Eastern and North Africa (MENA) organization
- Developed the loss classification categories for the Basel Committee as part of the operational risk quantification project
- Personal performance consistently rated as exceeds expectations. Rated as tier one employee and nominated to participate in the RBC Mentorship Program for the past 3 years
- Continually enhancing/developing skill sets through conferences and training programs
- Selected to attend the Governor General's Canadian Leadership Conference in May 2004,

Education and Professional Training

- Double honors in Accounting and Finance from Bristol, England
- Fellow of the Institute of Chartered Accountants in England and Wales (FCA)
- Associate of the Canadian Institute of Chartered Accountants (ACA)
- Certified Anti Money Laundering Specialist

Moni SenGupta joined the FIRST Initiative in 2011. She spent 9 years with the IMF Legal Department, advising on legal and financial sector issues, including FSAPs, G-20 and Financial Stability Board policies, provided direct technical assistance, and designed of trust funds and other financial arrangements for IMF TA. She also supported IMF lending and surveillance. Previously, she was a banking lawyer in Washington D.C., first with the Office of the Comptroller of the Currency, U.S. Department of Treasury and later in private practice with Arnold & Porter, LLC. Her practice focused on multilateral financial institutions regulatory compliance and enforcement, including problem banks, fraud, and money laundering.

Moni holds LL.M in Banking Law from Boston University School of Law Morin School of Banking Law Studies, a Juris Doctor from the Ohio State University College of Law and a Bachelors degree in Economics and Spanish from Carnegie Mellon University.

RICHARD A. SMALL

(212) 640-3075
rick.small@aexp.com

Experience:

May 2008
to Present

**SENIOR VICE PRESIDENT, ENTERPRISE WIDE ANTI-MONEY LAUNDERING,
ANTI-CORRUPTION, AND INTERNATIONAL REGULATORY COMPLIANCE
AMERICAN EXPRESS**
New York, New York

Responsible for the development and implementation of the global anti-money laundering program, global sanctions program and global anti-corruption program. Also responsible for all Compliance activities outside of the United States. Member of the American Express Compliance Senior Leadership Team. Manage a global team of approximately 400 Compliance professionals.

June 2006
to May 2008

**GLOBAL ANTI-MONEY LAUNDERING LEADER, GE MONEY
GENERAL ELECTRIC COMPANY**
Stamford, Connecticut

Responsible for the development and implementation of GE Money's global anti-money laundering program, which included policy formulation, strategic planning, ongoing compliance and self-assessment and measurement tools. In addition, responsible for the selection and implementation of global anti-money laundering and due diligence technology solutions and the development and deployment of anti-money laundering training programs. Managed relationships with bank supervisors and regulators globally. Also had oversight responsibility for OFAC and FCPA. Developed a global anti-money laundering infrastructure with appropriate resourcing and tools.

July 2001
to June 2006

**MANAGING DIRECTOR, GLOBAL ANTI-MONEY LAUNDERING
CITIGROUP, INC.**
New York, New York

Responsible for overseeing Citigroup's global anti-money laundering program, including strategic planning and development, ongoing anti-money laundering compliance, development and oversight of anti-money laundering technology initiatives, management of money laundering and terrorist financing related investigations, identification and resolution of significant and sensitive matters related to potential money laundering issues and development and deployment of anti-money laundering training. Additionally, responsible for managing terrorist financing issues throughout Citigroup. Managed local staff of twenty-five and, through matrix management, responsible for staff of 500 globally.

September 1997
to July 2001

**DEPUTY ASSOCIATE DIRECTOR
DIVISION OF BANKING SUPERVISION AND REGULATION
BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM**

**ASSISTANT DIRECTOR
ENFORCEMENT AND SPECIAL INVESTIGATIONS
DIVISION OF BANKING SUPERVISION AND REGULATION
BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM
Washington, D.C.**

Appointed as an officer to the official staff of the Board of Governors in September 1997. Responsible for the Enforcement and Special Investigations sections of the Board of Governors.

Managed staff of attorneys responsible for determining, preparing and implementing appropriate enforcement actions against domestic and foreign financial institutions and related parties for violations of criminal and civil laws and regulations that adversely affect the safe and sound operations of financial institutions.

Responsible for the development and implementation of significant regulations in the areas of money laundering, the Bank Secrecy Act and matters regarding safety and soundness of financial institutions.

Managed staff of investigators and examiners responsible for investigations and examinations of potential criminal and civil violations, including fraud, money laundering and insider abuse, with regard to foreign and domestic financial institutions operating within the United States.

Additional responsibilities included representing the Federal Reserve System in international initiatives such as the Financial Action Task Force, G-7 and other multi-national programs and coordinating and providing specialized assistance and training to domestic and international law enforcement agencies, foreign governments, domestic and foreign bank supervisory agencies and domestic and foreign financial organizations.

Promoted to the position of Deputy Associate Director in December 2000.

December 1989
to
September 1997

**SPECIAL COUNSEL and MANAGER
SPECIAL INVESTIGATIONS AND EXAMINATIONS
BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM
Washington, D.C.**

Directed and actively participated in litigation efforts of various enforcement matters, including motion practice, trial preparation and trial litigation. Responsible for setting policy with regard to the Bank Secrecy Act and money laundering matters within the Federal Reserve System. Also responsible for developing and reviewing financial institution compliance programs for compliance with all appropriate laws and regulations, as well as developing examination methods and practices to ensure compliance.

Initiated corrective enforcement actions against financial institutions for noncompliance with Bank Secrecy Act and related regulations. Coordinated various enforcement initiatives within and outside the Federal Reserve System and established a System-wide task force on money laundering.

January 1988
to
December 1989

**SENIOR COUNSEL FOR LAW ENFORCEMENT
OFFICE OF THE GENERAL COUNSEL**

**ACTING DEPUTY ASSISTANT SECRETARY FOR
LAW ENFORCEMENT**

DEPARTMENT OF THE TREASURY
Washington, D.C.

As Senior Counsel for Law Enforcement, provided legal analysis, opinion and support on a variety of subject matters including operational and proposed programs, legislative and regulatory initiatives, ongoing and proposed litigation and personnel matters related to the enforcement functions of the Department of the Treasury.

As Acting Deputy Assistant Secretary, was responsible for departmental oversight of the law enforcement bureaus of the Department of the Treasury, including U.S. Customs Service, U.S. Secret Service, Bureau of Alcohol, Tobacco and Firearms and Federal Law Enforcement Training Center, as well as administration of the Bank Secrecy Act.

1984 to 1988

**ACTING ATTORNEY IN CHARGE - DEPUTY ATTORNEY IN CHARGE
ORGANIZED CRIME AND RACKETEERING SECTION,
CRIMINAL DIVISION, UNITED STATES DEPARTMENT OF JUSTICE**
Los Angeles, California

Responsible for the operation of the Los Angeles Strike Force of the Organized Crime and Racketeering Section. Duties included supervision of staff of thirty individuals consisting of trial attorneys, law enforcement personnel and support staff, overall case management, and day-to-day operations. Reviewed and provided direction with regard to initiating prosecutions, investigative and trial strategies, as well as maintaining individual caseload consisting of variety of matters related to traditional and nontraditional organized crime, including extortion, fraud, narcotics, tax evasion and money laundering.

1980 to 1984

**TRIAL ATTORNEY, ANTITRUST DIVISION
UNITED STATES DEPARTMENT OF JUSTICE**
Philadelphia, Pennsylvania

Investigated and prosecuted criminal and civil antitrust violations. Participated in complex litigation related to price fixing and price maintenance, bid rigging and mergers and acquisitions.

**Professional
Associations**

ASSOCIATION OF CERTIFIED ANTI-MONEY LAUNDERING SPECIALTIST (ACAMS)
Certified Anti-Money Laundering Specialist
Chairman, Advisory Board, ACAMS

AMERICAN BANKERS ASSOCIATION / AMERICAN BAR ASSOCIATION
Co-Chairman, Annual Anti-Money Laundering Conference

Education:

SCHOOL OF LAW, HOFSTRA UNIVERSITY
Hempstead, New York
Juris Doctor, 1980

RIDER COLLEGE
Lawrenceville, New Jersey
Bachelor of Science in Commerce, Cum Laude, 1977

Kevin Mark Stephenson

Curriculum Vitae

A uniquely qualified manager with an international profile in law enforcement, financial intelligence, asset recovery, policy and operational matters. Extensive international experience on a wide range of topics, published author, and involved in high profile and politically sensitive matters. A highly accomplished criminal investigator and liaison officer, manager of a Financial Intelligence Unit, program manager, policy and training course developer.

Professional Experience

- 2012-present: **Executive Secretary Egmont Group - Toronto, Ontario, Canada**
- Manage the Secretariat of the Egmont Group of Financial Intelligence Units
 - Provide strategic, business and financial planning advice and in carrying out business plans on time and within budget
- 2008 to 2012: **Senior Financial Sector Specialist – World Bank, Washington, DC.**
- Financial Market Integrity – Project Manager of several projects – developing training needs – Tactical Analysis Course, Strategic Analysis Course, National AML/CFT Collaboration and Cooperation Course; technical Assistance; Capacity Building
 - AML/CFT Matters – Global – Policy Work with Clients
 - Asset Recovery
 - FATF Policy Work - Operational Working Group – Co-Chair
 - Egmont Group – Training Working Group
 - StAR – Stolen Asset Recovery Initiative – Transaction assistance; develop and publish knowledge products.
 - MER – Mutual Evaluation Reports (FATF) of countries
- 2008 to 2008: **Anti-corruption Advisor to Prime Minister, East Timor, United Nations**
- Advisor to the government of Timor-Leste on developing good governance in the fields of Anti-Corruption, Transparency and Accountability. Assist the government of Timor-Leste develop the appropriate institutions to combat corruption; assist in developing the necessary legal frameworks; and capacity building.
- 2005 to 2008: **Director, Financial Intelligence Centre, Kosovo, United Nations**
- Execute the overall management of the Centre; the strategic and operational planning and decision-making within the FIC; implementing personnel regulations and policies; preparation and management of the budget of the FIC; supervising the activities of the internal departments; deciding on the temporary suspension of a transaction; dissemination of financial intelligence reports to the competent authorities; reviewing and when required drafting opinions to draft legislation; providing training for persons under reporting obligation and other authorities and institutions

Kevin Mark Stephenson

Curriculum Vitae

involved in the prevention of money laundering and the financing of terrorist activities; representing the FIC when interacting with international institutions; representing the FIC abroad and in relation to relevant international institutions; develop policy and procedure manuals for the FIC Staff.

2002 – 2005:

Deputy Attaché, Department of Homeland Security, American Embassy, New Delhi, India

Supervise day to day operations of the office; develop the operational plan; coordinate budgetary matters; represent the Department of Homeland Security/ICE in several matters of International interest, CSI, C-TPAT, CMAA, etc.; supervise and coordinate all investigative matters; generate complex reports, threat analysis, etc.; conduct Criminal Investigations within Area of Responsibility - Bhutan, India, Nepal, Maldives, and Sri Lanka that have a nexus to the USA in the areas of Money Laundering, Terrorism Financing, Trade Fraud, Sex Tourism, Child Pornography, Illegal Exports (Weapons), Alien Smuggling, Security - Counter Terrorism.

2000 to 2002:

Assistant Customs Attaché, Department of Treasury, American Embassy, Berlin

Law enforcement liaison officer with twenty nations - including Germany, Holland, Sweden, Norway, Denmark, Finland, Poland, and all of the former Soviet Union excluding Russia; coordinated mainly financial investigations with the aforementioned nations' police and customs authorities; post 9/11, coordinated "Operation Greenquest (OGQ)" terrorism financing investigations in the aforementioned nations – at that time OGQ was the most successful anti-terrorism financing operation ever conducted by international law enforcement; conducted investigative liaison work with police and customs authorities in fraud, money laundering, weapons smuggling, strategic investigations, child pornography and other violations of US law; provided financial and investigative training in several nations to include Armenia, Kazakhstan, Norway, Finland, Latvia, Lithuania, Estonia, and Sweden.

1997 – 2000:

Senior Special Agent, United States Customs Service, Department of Treasury, New York, New York

Senior Special Agent - worked undercover against Russian organized crime operating in the New York metropolitan area; worked undercover against Palestinians and others involved in stealing luxury autos in the USA and illegally exporting them out of the USA; conducted criminal investigations, executed search warrants, testified in federal court, conducted surveillance, etc.

Kevin Mark Stephenson
Curriculum Vitae

kvolberlin@hotmail.com

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EXPERIENCE

The World Bank

2004-Present

Washington, D.C., USA

- Financial Market Integrity Unit (FPDFI) at the World Bank with expertise on Anti-Money Laundering (AML) and Countering the Financing of Terrorism (CFT). Main responsibilities include drafting and reviewing primary and secondary AML and CFT legislation and criminal policy, conducting country AML/CFT assessments and training country officials on AML/CFT systems and domestic cooperation. Deputy Manager since 2011.
- Part of the World Bank/ UNODC Stolen Asset Recovery Initiative (StAR) since inception (2007) – offering both direct country assistance (helping countries establish contact with financial centers, conducting mutual legal assistance, developing an asset recovery strategy) and conducting policy work. Leading country work in Egypt
- Work spans countries in: Eastern Europe, Central Asia, Middle East, Sub Saharan Africa, South Asia and East Asia and Pacific. Led AML/CFT country assessments of Rwanda, Niger, The Philippines and Papua New Guinea.

Ministry of Finance

2002-2004

The Hague, The Netherlands

Responsible for the implementation of the international standard on AML/CFT (the 40 Recommendations of the Financial Action Task Force against money laundering–FATF) in Dutch legislation and financial regulation.

De Brauw, Blackstone, Westbroek, Lawyers and Notaries

1998-2002

Amsterdam, The Netherlands

- Attorney (*advocaat*) specialized in banking and capital markets regulatory affairs.
- Admitted to the Dutch Bar.

The International Criminal Tribunal for the former Yugoslavia (ICTY)

1996-1998

The Hague, The Netherlands

- Lawyer in the Office for the Prosecutor on the case of the Prosecutor v General Blaskic
- Assistant to Professor Micha Wladimiroff, defense counsel in the first case before the ICTY, the case of the Prosecutor v Dusko Tadic, drafted motion disputing ICTY jurisdiction

EDUCATION

Master of laws (“*meester in de rechten*”) and graduate degree in Philosophy (“*doctorandus in de filosofie*”), from Leiden University, The Netherlands

PUBLICATIONS (all available on-line)

- “The Puppet Masters”, a StAR report on the use of legal entities for in corruption cases - concealing beneficial ownership, protecting assets. (lead author) (2011)
- Nonprofit Organizations and the Combatting of Terrorism Financing, a proportionate response (World Bank working paper) (2010)
- Preventing Money Laundering and Terrorist Financing: A Practical Guide for Bank Supervisors (co-author)(2009)
- Forthcoming: “Civil remedies against corruption” (planned first half 2013)

LANGUAGES

- Dutch (native) English (native) French (excellent) German (excellent) Spanish (fluent) Russian (basic)

Personal résumé:

Boudewijn VERHELST
° 2 November 1947, Brugge (B)

Business address : Gulden Vlieslaan 55, bus 1, 1060 BRUSSELS, Belgium
Tel. : 00 32 (0)2 5337211
Fax : 00 32 (0)2 5337200
E-mail : boudewijn.verhelst@ctif-cfi.be or info@ctif-cfi.be

Doctor Juris, graduated University Leuven (B), 1971.

King's Attorney (Public Prosecutor) in Brugge (B) from 1975 to 1994, in charge of the financial fraud section.

Deputy Attorney General at the Court of Appeal in Gent (B) since 1994.

Seconded as deputy director of the Belgian Financial Intelligence Processing Unit CTIF/CFI since 1 July 1993.

Chairman of the Egmont Group of Financial Intelligence Units from July 2010 to July 2013.

Law enforcement expert to the Moneyval Committee (Council of Europe)

Evaluator (legal / law enforcement) in FATF, Council of Europe, CFATF, WB and IMF AML/CFT assessments

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Lakewood, OH 44107
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RELEVANT WORK EXPERIENCE

Program Committee Member and Advisor, Program on Financial Integrity, Case Western Reserve School of Law. Participate in all activities of the Program, 2011-present.

Bank Of America, Enterprise Policy & Regulatory Relations, Cleveland, Ohio
Senior Vice President, 2009 – 2010

Developed systems to track all regulatory requirements under the US Government's TARP and TALF programs and map those requirements to applicable departments within the bank. Developed and implemented a system for collecting, consolidating and reporting regulatory information from the bank's non-US operations to the Federal Reserve. Directed the firm's Emerging Regulatory Risk Group and coordinated the firm's Emerging Regulatory Risk Forum.

Merrill Lynch, Global Monetary & Financial Control Group New York, New York
Director, 2007 – 2008

Managed Global Coordination team, and developed and maintained the firm's anti-money laundering and economic sanctions risk assessment, policies and procedures, quality assurance program, and training programs. Coordinated and managed audit and exam of and coordinated anti-money laundering and economic sanctions compliance by Merrill's non-U.S. operations (37 countries).

Citigroup Inc., Global Anti-Money Laundering New York, New York
Associate Director, 2005- 2007

Developed policies and procedures to aid in implementing Citigroup's anti-money laundering program across Citigroup business lines, including the Corporate Investment Bank, Global Wealth Management, the Global Consumer Group, and Citigroup Alternative Investments, and in over 100 jurisdictions where Citigroup has a presence. Performed onsite quality assurance assessments of anti-money laundering compliance programs in various businesses and in countries, including Pakistan, Malaysia, Hong Kong, Chile, Ireland, Canada and India.

Securities & Exchange Commission, Office of International Affairs, Washington, DC
Senior Counsel, 2001-2005, Program Manager, 2004-2005, Acting Assistant Director for Technical Assistance 2005- 2005

Worked extensively on international enforcement cases, negotiated cross-border information sharing arrangements with Bermuda, the Bahamas, and the Cayman

Islands and represented the Commission in international forums, including the Financial Action Task Force, the Council of Securities Regulators of the Americas and the International Organization of Securities Commission's Task Force on Client Identification and Beneficial Ownership. Organized and delivered training programs in the U.S. and abroad, on topics including enforcement, market oversight and anti-money laundering.

SG Cowen Securities Corporation, Cleveland, Ohio

Vice-President Municipal Bond Trading, 1994-2000

Involved in all aspects of the operation and management of a municipal bond trading desk. Maintained \$3 million inventory, supplying over 30 retail and institutional salespersons with product and knowledge to assist their clients.

Baker & Co., Inc., Cleveland Ohio

Account Executive, 1991-1994

Earned Series 7 & 63 licenses and worked as a retail account executive, advising and executing transactions on behalf of retail brokerage clients.

EDUCATION

Case Western Reserve University School of Law, Cleveland, Ohio, J.D. 2001

G.P.A. 3.71/4.00, Dean's honor list, Class rank 12 of 177, Order of the Coif

Articles Editor, Case Western Reserve University Law Review

Awarded Frederick I. Cox International Law Award, June 2001

Awarded the C.A.L.I. Excellence Award for the study of property law, June 1999

St. Petersburg Summer Law Institute, St. Petersburg, Russia, August 1999

G.P.A. 4.00/4.00

Williams College, Williamstown Massachusetts, B.A. American Studies, 1991

Four-year member of the varsity swimming and water polo teams.

PROFESSIONAL ORGANIZATIONS & QUALIFICATIONS

Ohio State Bar, Admitted to practice law 2001

Depository Trust & Clearing Corporation (DTCC) AML Advisory Committee,

Member 2008 – 2009

Securities Industry & Financial Markets Association (SIMFA) AML Committee,

Member 2006 – 2009

Financial Action Task Force, Member of the United States delegation to FATF, representing the US Securities & Exchange Commission, 2002-2005, Represented the International Organization of Securities Commissions, 2003-2005

Ohio Municipal Advisory Council, Trustee and Secretary-Treasurer 1996-1998

Cleveland Bond Club, Member, Board of Governors 1992-1997

SELECTED SPEAKING ENGAGEMENTS

Association of Certified Anti-Money Laundering Specialists - 2008 Annual International Money Laundering Conference & Exhibition

Institutional Investor – 2007 & 2008 Anti-Money Laundering & Counter-Terrorist Financing Forums

U.S. Securities & Exchange Commission – International Institute for Securities Market Development (2004 – 2006); International Enforcement Institute (2004 & 2005); Regional Enforcement and Market Oversight Training Programs with US AID – Rio de Janeiro, Brazil (2004), Bucharest, Romania (2004), Abuja Nigeria (2005), Santo Domingo, Dominican Republic (2007); Regional Enforcement and Market Oversight Training Program with the Financial Services Volunteer Corps – Dubai, United Arab Emirates (2004)

Executive Master of Arts Degree in Financial Integrity Case Western Reserve University School of Law

Starting in the fall of 2014, Case Western Reserve University School of Law's Program in Financial Regulation will be offering a new international Executive Master of Arts Degree in Financial Integrity [EMAFI]. The course of study is designed for experienced professionals in the policy and practice of anti-money laundering, counter-terrorism financing and proliferation finance, and related areas such as anti-corruption. Team-taught by top academics and practitioners from around the world, the EMAFI degree program will be the first of its kind ever offered by a major university.

Applicants must have a BA or equivalent degree and professional experience in financial integrity or a related field. To obtain the EMAFI degree, students must successfully complete 8 courses, each of which is 3 credits or 36 hours of instruction, for a total of 24 credits.

Students must choose between two tracks of study: (1) Regulatory Compliance and (2) Investigation and Prosecution. Because all financial integrity professionals should be well versed in the basics of both prevention and enforcement, students in both tracks will be required to complete the same 4 Foundation Courses that cover the key elements of both areas. Following completion of these courses, students will be required to take 2 Focus Courses that are specific to their track.

Following completion of the required courses, students must complete 2 Electives.

Courses are to be conducted through a combination of on-site and on-line instruction. Each course will be offered over 6 consecutive days, consisting of a total of 26 hours of classes. Each of these classes, which will include both lecture and discussion, will also be recorded and placed on-line. Each course will also consist of 8 hours of on-line instruction and 2 hours of on-line exams, for a combined total of 36 hours. Courses are to be taught in New York, London, Paris/Brussels, New Delhi, and Hong Kong.

Because it is vitally important that students in an executive program have the opportunity to interact with faculty and each other in a way that only on-site learning can accomplish, students will be required to attend at least 4 courses in person.¹ However, since the commitment of time and financial resources is greater for in-person than on-line instruction, students may, if they so choose, take up to 4 courses on-line only.

The School will begin accepting applications starting [].

The EMFI program is offered in cooperation with the Financial Action Task Force, the Egmont Group, International Governance and Risk Institute, and Northeastern University.

¹ Plus 8 hours of on-line instruction and 2 hours of on-line exams.

Course of Study for Executive Master of Arts Degree in Financial Integrity
Case Western Reserve School of Law
All courses are 3 credits/36 hours of instruction

Foundation Courses

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

This course will introduce students to the basics of money laundering and to the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation. The course will begin with an overview of the criminology of money laundering and to the origins of the FATF and the development of the Recommendations. It will examine how each recommendation functions in preventing, uncovering, and prosecuting money laundering, terrorism financing, and proliferation. The course will also introduce how the process of assessing compliance works.

Preventive measures in depth: risk assessment, customer on boarding and acceptance, record keeping, customer activity monitoring, suspicious activity report preparation, internal controls, and regulation and supervision

This course will examine in detail measures that banks and other financial institutions are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, record keeping, customer activity monitoring, suspicious activity report preparation, internal controls, and the regulation and supervision of financial institutions with respect to preventive measures implementation. The course will focus on the preventive measures found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and predicate crimes

This course will examine in detail the operations of national financial intelligence units in analyzing suspicious activity reports and other data and information and in creating actionable intelligence from that information. It will then examine the investigation of the crimes of money laundering/financing of terrorism and proliferation, and a selection of key predicate crimes. The course will also review the operational and law enforcement elements found in the Financial Action Task Force's [FATF] Forty Recommendations on

combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

International cooperation in civil and criminal matters in depth

This course will examine in detail how financial intelligence units, investigators, prosecutors, and investigative judges/magistrates cooperate with officials of other jurisdictions in identifying possible money laundering/financing of terrorism and proliferation cases, investigating and prosecuting those cases, and recovering assets that are candidates for freezing or confiscation. The course will also review the international cooperation elements found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation, U.N. conventions, model laws and regulations, and on a sampling of key national laws and regulations, including those of the United States.

Focus Courses

Track 1: Regulatory Compliance

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program, with a focus on the banking sector.

Anti-money laundering/financing of terrorism and proliferation audits, inspections, on-site examinations, and sanctions

This course will continue the coverage of audits, inspections, on-site examinations, and sanctions covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program.

Track 2: Law Enforcement and Prosecution

Building and prosecuting an anti-money laundering/financing of terrorism and proliferation criminal case

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

Asset tracing and recovery

The course will continue the coverage of asset tracing and recovery in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of asset tracing and recovery.

Electives

Selected topics in automated customer acceptance and transaction monitoring systems

This course will consider the use of automated customer acceptance and transaction monitoring systems. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of data presentation. The course will examine current vendor products. The course will also make use of case studies.

Selected topics in automated financial intelligence unit systems: automated tools and transaction activity analysis

This course will consider the use of automated systems for analyzing suspicious transaction reports and other data to develop actionable intelligence. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of intelligence presentation. The course will examine current vendor products. The course will also make use of case studies.

Selected preventive measures issues for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses

This course will examine in detail measures that for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and the regulation and supervision of non-bank financial institutions with respect to preventive measures implementation. The course will also review the use of automated systems and make use of case studies.

Selected preventive measures issues with respect to legal persons and arrangements, designated non-financial businesses and persons, trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing

This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth by examining the special circumstances of trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The principle focus will be on developing and implementing effective typologies. The course will primarily involve the presentation and discussion of case studies.

Selected operational and law enforcement issues with respect to legal persons and arrangements, designated non-financial businesses and persons narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement by examining narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

Mutual evaluations by the Financial Action Task Force and assessments by the IMF/World Bank: A practical approach for assessors and countries to be assessed using the Financial Action Task Force Methodology

The course will cover the process of assessment compliance with the Financial Action Task Force's 40 Recommendations by use of the FATF's Methodology of Assessment. It will include all aspects of compliance assessment, from initial self-assessment questionnaire preparation to final discussion of the draft assessment at the FATF/FSRB Plenary.

Philosophy of anti-money laundering and the financing of terrorism and proliferation: theories of global justice and philosophy of law as a normative basis for international standards

The course will focus on practical and theoretical issues of global justice as they pertain to anti-money laundering and combating the financing of terrorism. What are our obligations to international justice? How do they influence AML/CFT law? The course will consider the normative basis of jurisprudence, comparing legal positivism to natural law theory. Next, the course will look at theories of global justice suitable to answer normative questions on what law should aim at. The remainder of the course will consider practical issues that come into play with AML/CFT law, such as corruption, poverty, distributive justice, human rights, violence, and war.

[Draft Application to Ohio Regents for approval of Degree Program]

Executive Master of Arts in Financial Integrity

Case Western Reserve University School of Law

Program Development Plan

Preamble

Since the attacks of September 11, 2001, experts in compliance with financial integrity standards, as well as investigation and prosecution of anti-money laundering and terrorism financing, have been in ever-increasing demand world wide. In particular, this year's unprecedented fines, levied by financial regulators on banks in the United States and the United Kingdom for breaching their integrity obligations, have resulted in a significant increase in the demand for experts by both financial institutions and governments. However, such demands have not been met, in part because only one university in the world (located in Sydney, Australia) offers an advanced degree in financial integrity.

Case Western Reserve University School of Law is planning to respond to that demand by offering an executive master or arts degree in financial integrity. Case is unusually well placed to offer such a degree because of its unique Program in Financial Integrity. Headed by Professor Richard Gordon, former Senior Counsel and Senior Financial Expert at the International Monetary Fund and a principal author of the Fund's and the World Bank's entry into the field of anti-money laundering, the Program has sponsored courses in the School's JD program (unique to American law schools), as well as conferences and symposia, attended by the most prominent experts in the field. The Program is in a unique position to leverage relations nurtured by these activities by successfully recruiting experts to teach in the program.

1. Designation of the degree program, rational for that designation, definition of the focus of the program, and a brief description of its disciplinary purpose and significance.

The new degree program is for an executive Master of Arts in Financial Integrity [MAFI] at Case Western Reserve University School of Law. Establishing an executive MAFI program would build on the law school's expertise in this area, its close relationships with the Financial Action Task Force (the international standard-setter for financial integrity), the International Monetary Fund and World Bank (who are assessors of compliance with those standards), and key practitioners throughout the world. It would further the School's exceptional international reputation in this critical field of financial regulation.

2. Description of the proposed curriculum.²

Designed and taught by the leading experts in the field, the executive MAFI program will provide experienced professionals with an in-depth knowledge of the policy and practice of anti-money laundering and counter-terrorism and proliferation finance. It will prepare students for leadership positions in financial integrity in financial institutions and in government.

Applicants must have a BA or equivalent degree and professional experience in financial integrity or a related field. The executive MAFI is a part-time program designed for professionals currently working in the field. As such, it is expected that students will complete the program in around 24 months, but in no case in fewer than 18 months or more than 30 months. To obtain the executive MAFI degree, students must successfully complete eight courses, each of which is three credits or 36 hours of instruction, for a total of 24 credits (see list of courses below).

Students will chose between two tracks of study: (1) Regulatory Compliance and (2) Investigation and Prosecution. Because all financial integrity professionals should be well versed in the basics of both prevention and enforcement, students in both tracks will be required to complete the same four Foundation Courses that cover the key elements of both areas. Following completion of these courses, students will be required to take two Focus Courses that are specific to their track. Following completion of the required courses, students must complete two Electives.

Courses are to be conducted through a combination of on-site and on-line instruction. Each course will be offered in one or more major financial centers around the world over six consecutive days, consisting of a total of 26 hours of classes. Each of these classes, which will include both lecture and discussion, will also be recorded and placed on-line. Each course will also consist of 10 hours of on-line instruction, for a combined total of 36 hours.

Because it is vitally important that students in an executive program have the opportunity to interact with faculty and each other in a way that only on-site learning can accomplish, students will be required to attend at least four courses in person.³ However, because the commitment of time and financial resources is greater for in-person than on-line instruction, students may, if they so choose, take up to four courses on-line only.

Foundation Courses

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation; Preventive measures in depth: risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and regulation and

² See Appendix for descriptions for each course.

³ Plus 10 hours of on-line instruction.

supervision; Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and asset tracing and seizure; International cooperation in civil and criminal matters

Focus Courses

Track 1: Regulatory Compliance

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program; Anti-money laundering/financing of terrorism and proliferation audits, inspections, on-site examinations, and sanctions

Track 2: Law Enforcement and Prosecution

Building and prosecuting an anti-money laundering/financing of terrorism and proliferation criminal case; Asset tracing and recovery

Elective Courses

Selected topics in automated customer acceptance and transaction monitoring systems; Selected topics in automated financial intelligence unit systems: automated tools and transaction activity analysis; Selected preventive measures issues for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses; Selected preventive measures issues with respect to narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing; Selected operational and law enforcement issues with respect to narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing; Mutual evaluations by the Financial Action Task Force and assessments by the IMF/World Bank: A practical approach for assessors and countries to be assessed using the Financial Action Task Force Methodology; Philosophy of anti-money laundering and the financing of terrorism and proliferation: theories of global justice and philosophy of law as a normative basis for international standards

3. Administrative arrangements for the proposed program: department and school or college involved.

The program is part of the Law School. Professor Richard Gordon, Associate Director of the School's Cox International Law Center and Director of the School's Program in Financial Law, will serve as chief administrator. Gordon will be assisted by his administrative assistant Deborah Turner, and by Nancy Pratt and Raymond Ultrup, who help manage the Law School's six Center's of Excellence. However, administration of program will require significant additional resources with respect to organizing the 15 week-long intensive sessions—to be held in Cleveland and in six other cities around the world—taught by 30 part-time adjuncts and two full-time faculty. These resources will

be provided by the International Governance and Risk Institute. The Institute, a UK-based consultancy, has over 10 years of experience in successfully planning and organizing conferences and classes around the globe, and has partnered with such organizations the International Monetary Fund, the World Bank, and the UK Foreign and Commonwealth Office. The Law School's partnership with the International Governance and Risk Institute will ensure the successful administration of each individual class as well as the Program as a whole.

4. Evidence of need for the new degree program, including the opportunities for employment of graduates. This section should address other similar programs in the state addressing this need and potential duplication of programs in the state and the region.

Since the attacks of September 11, 2001, experts in compliance with financial integrity standards, as well as investigation and prosecution of anti-money laundering and terrorism financing, have been in ever-increasing demand world wide. This year's unprecedented fines, levied by financial regulators on banks in the US and UK for breaching their integrity obligations, have resulted in a significant increase in demand for experts by both financial institutions and governments. In fact, it was Willie Maddox, Vice President and ERM Risk Assessment Manager at KeyBank in Cleveland, Phil DeLuca, Senior Vice President and Compliance Managing Director for JPMorgan Chase Bank in Columbus, and Rick McDonell, head of the Financial Action Task Force, who suggested that the Law School offer an executive MAFI. As students in this executive program would already be employed in the field, opportunities for graduates would lie in superior job performance and movement to more senior positions. There is currently no such program offered in the state or region; in fact, as far as we can determine, as of this writing the only similar program offered anywhere in the world is an on-line only course at Charles Sturt University in Sydney, Australia.

5. Prospective enrollment.

We anticipate that around 10 students will begin the program in the first year, will begin growing to about 30 entering in the third year.

6. Special efforts to enroll and retain underrepresented groups in the given discipline.

As with CWRU's policy, diversity will be an important factor to be considered in outreach to both potential students and adjuncts. We expect students to enroll from each inhabited continent and therefore to represent a significant diversity of ethnicity. A Steering Committee has been appointed to advise the program, with Willie Maddox, Vice President and ERM Risk Assessment Manager at KeyBank, an African-American woman with significant experience in promoting diversity in the financial sector, leading the Subcommittee on Inclusion.

7. Availability and adequacy of the faculty and facilities available for the new degree program

Because of the size and international reach of the program, we anticipate significant additional courses, faculty, and facilities. For this reason, we have already approved 15 new courses (listed above and described in detail in the Appendix), and received commitments from 30 top experts from around the world to serve as adjuncts—in most cases without any compensation—in addition to our current, full-time faculty. This should be more than adequate. Because the vast majority of courses will be taught in cities outside of Cleveland, it has been necessary to secure commitments to provide teaching space in those cities. So far, we have received commitments from donors for space in New York, London, Paris/Brussels, Geneva, New Delhi, and Hong Kong.

8. Need for additional facilities and staff and the plans to meet this need.

Please see answers to number 3 and number 7 above.

9. Projected additional costs associated with the program and evidence of institutional commitment and capacity to meet these costs.

With an estimated tuition of \$ 50,000, and with 10 students entering in the first year with an increase to 30 entering in the third, the executive MAFI should bring in an additional \$ 500,000 in tuition the first year, rising to \$1.5 million in the third. Because most adjuncts have agreed to serve *gratis* or for a nominal sum, and because teaching space outside Cleveland has been donated, the major additional expenses of the Program should be limited to compensating International Governance and Risk Institute for its work in administering the project, and reimbursing transportation and hotel costs to those faculty who must travel to cities where the courses are being offered (we plan to minimize these costs by ensuring, where possible, that adjunct faculty be assigned to teach courses where they are resident). We believe that the program should generate significant net proceeds. We also believe that by offering such a program we shall greatly increase the School's international reputation, which should have a positive effect on our fundraising efforts.

Appendix

Course of Study for Executive Master of Arts Degree in Financial Integrity Case Western Reserve School of Law *All courses are 3 credits/36 hours of instruction*

Foundation Courses

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

This course will introduce students to the basics of money laundering and to the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation. The course will begin with an overview of the criminology of money laundering and to the origins of the FATF and the development of the Recommendations. It will examine how each recommendation functions in preventing, uncovering, and prosecuting money laundering, terrorism financing, and proliferation. The course will also introduce how the process of assessing compliance works.

Preventive measures in depth: risk assessment, customer on boarding and acceptance, record keeping, customer activity monitoring, suspicious activity report preparation, internal controls, and regulation and supervision

This course will examine in detail measures that banks and other financial institutions are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, record keeping, customer activity monitoring, suspicious activity report preparation, internal controls, and the regulation and supervision of financial institutions with respect to preventive measures implementation. The course will focus on the preventive measures found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and predicate crimes

This course will examine in detail the operations of national financial intelligence units in analyzing suspicious activity reports and other data and information and in creating actionable intelligence from that information. It will then examine the investigation of the crimes of money laundering/financing of terrorism and proliferation, and a selection of key predicate crimes. The course will also review the operational and law enforcement elements found in the Financial Action Task Force's [FATF] Forty Recommendations on

combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

International cooperation in civil and criminal matters in depth

This course will examine in detail how financial intelligence units, investigators, prosecutors, and investigative judges/magistrates cooperate with officials of other jurisdictions in identifying possible money laundering/financing of terrorism and proliferation cases, investigating and prosecuting those cases, and recovering assets that are candidates for freezing or confiscation. The course will also review the international cooperation elements found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation, U.N. conventions, model laws and regulations, and on a sampling of key national laws and regulations, including those of the United States.

Focus Courses

Track 1: Regulatory Compliance

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program, with a focus on the banking sector.

Anti-money laundering/financing of terrorism and proliferation audits, inspections, on-site examinations, and sanctions

This course will continue the coverage of audits, inspections, on-site examinations, and sanctions covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program.

Track 2: Law Enforcement and Prosecution

Building and prosecuting an anti-money laundering/financing of terrorism and proliferation criminal case

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

Asset tracing and recovery

The course will continue the coverage of asset tracing and recovery in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of asset tracing and recovery.

Electives

Selected topics in automated customer acceptance and transaction monitoring systems

This course will consider the use of automated customer acceptance and transaction monitoring systems. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of data presentation. The course will examine current vendor products. The course will also make use of case studies.

Selected topics in automated financial intelligence unit systems: automated tools and transaction activity analysis

This course will consider the use of automated systems for analyzing suspicious transaction reports and other data to develop actionable intelligence. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of intelligence presentation. The course will examine current vendor products. The course will also make use of case studies.

Selected preventive measures issues for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses

This course will examine in detail measures that for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and the regulation and supervision of non-bank financial institutions with respect to preventive measures implementation. The course will also review the use of automated systems and make use of case studies.

Selected preventive measures issues with respect to legal persons and arrangements, designated non-financial businesses and persons, trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing

This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth by examining the special circumstances of trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The principle focus will be on developing and implementing effective typologies. The course will primarily involve the presentation and discussion of case studies.

Selected operational and law enforcement issues with respect to legal persons and arrangements, designated non-financial businesses and persons narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement by examining narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

Mutual evaluations by the Financial Action Task Force and assessments by the IMF/World Bank: A practical approach for assessors and countries to be assessed using the Financial Action Task Force Methodology

The course will cover the process of assessment compliance with the Financial Action Task Force's 40 Recommendations by use of the FATF's Methodology of Assessment. It will include all aspects of compliance assessment, from initial self-assessment questionnaire preparation to final discussion of the draft assessment at the FATF/FSRB Plenary.

Philosophy of anti-money laundering and the financing of terrorism and proliferation: theories of global justice and philosophy of law as a normative basis for international standards

The course will focus on practical and theoretical issues of global justice as they pertain to anti-money laundering and combating the financing of terrorism. What are our obligations to international justice? How do they influence AML/CFT law? The course will consider the normative basis of jurisprudence, comparing legal positivism to natural law theory. Next, the course will look at theories of global justice suitable to answer normative questions on what law should aim at. The remainder of the course will consider practical issues that come into play with AML/CFT law, such as corruption, poverty, distributive justice, human rights, violence, and war.

[Course Proposals]
Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

1. State name of proposed course or seminar:

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will cover the basics of the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism and proliferation, as well the methodology for assessing compliance with those standards, as promulgated by the Financial Action Task Force.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation: This course will introduce students to the basics of money laundering and to the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation. The course will begin with an overview of the criminology of money laundering and to the origins of the FATF and the development of the Recommendations. It will examine how each recommendation functions in preventing, uncovering, and prosecuting money laundering, terrorism financing, and

proliferation. The course will also introduce how the process of assessing compliance works.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

No prerequisites.

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the four required Foundation courses in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Richard Gordon, Combating Money Laundering and the Financing of Terrorism & Proliferation: Theory and Practice (Oxford, 2014)

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Richard Gordon, Elizabeth Joyce, Eliot Kennedy, P.N. Krishnan, Nadim Kyriakos-Saad, Willie Maddox, Rick McDonell, Andre Montesdeoca--Broquetas, Nina Nichols, Nikos Passas, Moni SenGupta, Richard Small.

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Elizabeth Joyce, Section Chief, Counter-Terrorism Committee, Executive Directorate, United Nations, New York

Eliot Kennedy, Executive Secretary, Asia Pacific Group on Money Laundering (the Asian FATF-Style Regional Body), Sydney

Nadim Kyriakos-Saad, Deputy Director, Financial Integrity Group, IMF, Washington, DC

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Dr. Alejandro Montesdeoca--Broquetas, Former Executive Secretary, GAFISUD (the Latin American FATF-Style Regional Body), Montevideo, Uruguay

Nina Nichols, Deputy Director of the Division of Supervision Policy and Support, Federal Housing Finance Agency, formerly Senior Vice President, JP Morgan Chase and Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System, Washington, DC

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

P. Moni SenGupta, Financial Sector Expert, the World Bank, formerly Senior Counsel, IMF, Washington DC.

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System, Washington DC

Professor Dr. K.P. Krishnan, Principal Resident Commissioner and former Head of FATF Cell, Financial Action Task Force, New Delhi, India

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

2. State name of proposed course or seminar:

Preventive measures in depth: risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and regulation and supervision.

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will cover those measures designed to prevent financial institutions from being used by criminals to launder money, finance terrorism, and avoid proliferation sanctions.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Preventive measures in depth: risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and regulation and supervision: This course will examine in detail measures that banks and other financial institutions are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and the regulation and supervision of financial institutions with respect to preventive measures implementation. The course will focus on the preventive measures found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism

and proliferation and on a sampling of key national laws and regulations, including those of the United States.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the four required Foundation courses in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Emile van der Does de Willebois et alia, Preventing Money Laundering and Terrorism Financing A comprehensive Guide: A Comprehensive Guide for Bank Supervisors (2009)

Richard Gordon, Combating Money Laundering and the Financing of Terrorism & Proliferation: Theory and Practice (Oxford, 2014); The FATF Forty Recommendations; The FATF Methodology of Compliance Assessment; selected statutory and regulatory materials

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System

Phil DeLuca, Senior Vice President and Compliance Managing Director, JPMorgan Chase Bank, Columbus, OH

Karim Rajwani Global Head, Anti-Money Laundering, *Royal Bank* of Canada, Toronto, Canada

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

3. State name of proposed course or seminar:

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and predicate crimes

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will cover in depth key issues relating to the operation of financial intelligence units and the investigation and prosecution of money laundering/financing of terrorism and proliferation, and to a selection of key predicate crimes.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and predicate crimes: This course will examine in detail the operations of national financial intelligence units in analyzing suspicious activity reports and other data and information and in creating actionable intelligence from that information. It will then examine the investigation of the crimes of money laundering/financing of terrorism and proliferation, and a selection of key predicate crimes. The course will also review the operational and law enforcement elements found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the four required Foundation courses in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who

has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Richard Gordon, *Combating Money Laundering and the Financing of Terrorism & Proliferation: Theory and Practice* (Oxford, 2014); *The FATF Forty Recommendations*; *The FATF Methodology of Compliance Assessment*; selected statutory and regulatory materials; case studies

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Yves Aeschlimann, Richard Barrett, Jeff Breinhold, Jean Pierre Brun, Mark Butler, Sue Eckert, Patrick O'Sullivan, Nikos Passas, Susan Pond, Kevin Stephenson, Emile van der Does de Willebois, Boudewijn Verhelst

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Yves Aeschlimann, Senior Vice President and AML Compliance Officer, UBS and former Financial Sector Expert, The World Bank, and Former Investigating Judge, Zurich, Switzerland

Richard Barrett, CMG, OBE, International Centre for Counter-Terrorism, The Hague and former Coordinator, Al-Qaida Taliban Monitoring Team, UN, NYC

Jeff Breinhold, founding Co-Director, Counterterrorism Task Force, United States Department of Justice.

Jean Pierre Brun, Financial Sector Specialist, World Bank, Washington; formerly Prosecutor and Investigative Judge, and Director for Forensic and Fraud investigations, Deloitte Finance, Paris.

Mark Butler, Financial Sector Expert, the World Bank, former Head of Financial Crime Unit, Hong Kong Police

Hon. Sue Eckert, Senior Fellow, the Watson Institute, Brown University, Providence, RI, former Assistant Secretary of Commerce, Washington, DC

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

Susan Pond, Senior Officer, Political Affairs and Security Policy, NATO Headquarters, Brussels, Belgium

Kevin Stephenson, Executive Secretary, The Egmont Group of Financial Intelligence Units, Ottawa, Canada

Boudewijn Verhelst, Chairman, the Egmont Group and Co-Director, the Belgian Financial Intelligence Unit, Brussels, Belgium

Emile van der Does de Willebois, Senior Financial Sector Expert, Financial Market Integrity/ Stolen Asset Recovery Initiative (StAR), The World Bank, Washington DC

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

4. State name of proposed course or seminar:

International cooperation in civil and criminal matters in depth

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will cover in depth key issues relating to international cooperation in financial intelligence unit analysis, investigation, prosecution, and both criminal and civil asset recovery and asset sharing, in money laundering/financing of terrorism and proliferation cases.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

International cooperation in civil and criminal matters in depth: This course will examine in detail how financial intelligence units, investigators, prosecutors, and investigative judges/magistrates cooperate with officials of other jurisdictions in identifying possible money laundering/financing of terrorism and proliferation cases, investigating and prosecuting those cases, and recovering assets that are candidates for freezing or confiscation. The course will also review the international cooperation elements found in the Financial Action Task Force's [FATF] Forty Recommendations on combating money laundering and the financing of terrorism and proliferation and on a sampling of key national laws and regulations, including those of the United States.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the four required Foundation courses in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Richard Gordon, *Combating Money Laundering and the Financing of Terrorism & Proliferation: Theory and Practice* (Oxford, 2014); The FATF Forty Recommendations; The FATF Methodology of Compliance Assessment; selected statutory and regulatory materials; case studies

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Yves Aeschlimann, Jean Pierre Brun, Patrick O'Sullivan, Emile van der Does de Willebois, Boudewijn Verhelst

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Yves Aeschlimann, Senior Vice President and AML Compliance Officer, UBS and former Financial Sector Expert, The World Bank, and Former Investigating Judge, Zurich, Switzerland

Jean Pierre Brun, Financial Sector Specialist, World Bank, Washington; formerly Prosecutor and Investigative Judge, and Director for Forensic and Fraud investigations, Deloitte Finance, Paris.

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Boudewijn Verhelst, Chairman, the Egmont Group and Co-Director, the Belgian Financial Intelligence Unit, Brussels, Belgium

Emile van der Does de Willebois, Senior Financial Sector Expert, Financial Market Integrity/ Stolen Asset Recovery Initiative (StAR), The World Bank, Washington DC

Procedures for Proposing New Courses or Seminars

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This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

5. State name of proposed course or seminar:

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth. The course will focus on case studies, primarily from the banking sector.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program: This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program, with a focus on the banking sector.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three

or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Preventive Measures in Depth

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the two required Focus courses in the Regulatory Compliance Track of the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Combatting Money Laundering and Terrorism Financing: A Comprehensive Training Guide (2009)

Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani,
Materials on Financial Integrity Regulatory Compliance

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System

Phil DeLuca, Senior Vice President and Compliance Managing Director, JPMorgan Chase Bank, Columbus, OH

Karim Rajwani Global Head, Anti-Money Laundering, *Royal Bank* of Canada, Toronto, Canada

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

6. State name of proposed course or seminar:

Anti-money laundering/financing of terrorism and proliferation audits, inspections, on-site examinations, and sanctions

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of audits, inspections, on-site examinations, and sanctions covered in Preventive Measures in Depth. The course will focus on case studies, primarily from the banking sector.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Anti-money laundering/financing of terrorism and proliferation audits, inspections, on-site examinations, and sanctions: This course will continue the coverage of audits, inspections, on-site examinations, and sanctions covered in Preventive Measures in Depth. The course will primarily involve the presentation and discussion of case studies in each critical area of an effective compliance program.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the two required Focus courses in the Regulatory Compliance Track of the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Ross Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani,
Materials on Financial Integrity Regulatory Compliance

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Willie Maddox, Nina Nichols, Richard Small, Philip DeLuca, Karim Rajwani, Shaktikanta

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Nina Nichols, Deputy Director of the Division of Supervision Policy and Support, Federal Housing Finance Agency, formerly Senior Vice President, JP Morgan Chase and Assistant General Counsel, the Board of Governors of the Federal Reserve System, Washington, DC

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System

Phil DeLuca, Senior Vice President and Compliance Managing Director, JPMorgan Chase Bank, Columbus, OH

Karim Rajwani Global Head, Anti-Money Laundering, *Royal Bank of Canada*, Toronto, Canada

Shaktikanta DAS Additional Secretary, Ministry of Finance, Government of India, New Delhi, India

Procedures for Proposing New Courses or Seminars

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7. State name of proposed course or seminar:

Building and prosecuting an anti-money laundering/financing of terrorism and proliferation criminal case

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement in depth. The course will focus on case studies.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Building and prosecuting an anti-money laundering/financing of terrorism and proliferation criminal case: The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and asset tracing and seizure

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the two required Focus courses in Law Enforcement and Prosecution Track of the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Yves Aeschlimann, Richard Barrett, Jeff Breinhold, Jean Pierre Brun, Mark Butler, Sue Eckert, Rick McDonell, Patrick O'Sullivan, Nikos Passas, Susan

Pond, Kevin Stephenson, Emile van der Does de Willebois, Boudewijn Verhelst,
Materials on Operational and Law Enforcement in Financial Integrity.

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Yves Aeschlimann, Richard Barrett, Jeff Breinhold, Jean Pierre Brun, Mark Butler, Sue Eckert, Rick McDonell, Patrick O'Sullivan, Nikos Passas, Susan Pond, Kevin Stephenson, Emile van der Does de Willebois, Boudewijn Verhelst,

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Yves Aeschlimann, Senior Vice President and AML Compliance Officer, UBS and former Financial Sector Expert, The World Bank, and Former Investigating Judge, Zurich, Switzerland

Richard Barrett, CMG, OBE, International Centre for Counter-Terrorism, The Hague and former Coordinator, Al-Qaida Taliban Monitoring Team, UN, NYC

Jeff Breinhold, founding Co-Director, Counterterrorism Task Force, United States Department of Justice.

Jean Pierre Brun, Financial Sector Specialist, World Bank, Washington; formerly Prosecutor and Investigative Judge, and Director for Forensic and Fraud investigations, Deloitte Finance, Paris.

Mark Butler, Financial Sector Expert, the World Bank, former Head of Financial Crime Unit, Hong Kong Police

Hon. Sue Eckert, Senior Fellow, the Watson Institute, Brown University, Providence, RI, former Assistant Secretary of Commerce, Washington, DC

Rick McDonnell, Executive Secretary, Financial Action Task Force (FATF), Paris, France

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

Susan Pond, Senior Officer, Political Affairs and Security Policy, NATO Headquarters, Brussels, Belgium

Kevin Stephenson, Executive Secretary, The Egmont Group of Financial Intelligence Units, Ottawa, Canada

Boudewijn Verhelst, Chairman, the Egmont Group and Co-Director, the Belgian Financial Intelligence Unit, Brussels, Belgium

Emile van der Does de Willebois, Senior Financial Sector Expert, Financial Market Integrity/ Stolen Asset Recovery Initiative (StAR), The World Bank, Washington DC

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

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8. State name of proposed course or seminar:

Asset tracing and recovery

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of asset recover in operational and law enforcement in depth. The course will focus on case studies.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Asset tracing and recovery: The course will continue the coverage of asset tracing and recovery in operational and law enforcement in depth. The course will primarily involve the presentation and discussion of case studies in each critical area of asset tracing and recovery.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the

seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and asset tracing and seizure

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be one of the two required Focus courses in Law Enforcement and Prosecution Track of the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Jean-Pierre Brun, et alia, Asset Recovery Handbook: A Guide for Practitioners (2011)

Ted Greenburg et alia, Stolen Asset Recover Guide: A good Practices guide for Non-Conviction based Asset Recovery (2010)

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Yves Aeschlimann, Jean Pierre Brun, Patrick O'Sullivan, Nikos Passas, Susan Pond, Kevin Stephenson, Emile van der Does de Willebois, Boudewijn Verhelst,

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Yves Aeschlimann, Senior Vice President and AML Compliance Officer, UBS and former Financial Sector Expert, The World Bank, and Former Investigating Judge, Zurich, Switzerland

Jean Pierre Brun, Financial Sector Specialist, World Bank, Washington; formerly Prosecutor and Investigative Judge, and Director for Forensic and Fraud investigations, Deloitte Finance, Paris.

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

Susan Pond, Senior Officer, Political Affairs and Security Policy, NATO Headquarters, Brussels, Belgium

Kevin Stephenson, Executive Secretary, The Egmont Group of Financial Intelligence Units, Ottawa, Canada

Emile van der Does de Willebois, Senior Financial Sector Expert, Financial Market Integrity/ Stolen Asset Recovery Initiative (StAR), The World Bank, Washington D
Boudewijn Verhelst, Chairman, the Egmont Group and Co-Director, the Belgian Financial Intelligence Unit, Brussels, Belgium

Procedures for Proposing New Courses or Seminars

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9. State name of proposed course or seminar:

Selected topics in automated customer acceptance and transaction monitoring systems

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will consider the use of automated customer acceptance and transaction monitoring systems. It will examine key issues in how such systems work, what systems are currently available, and how they can be improved.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Selected topics in automated customer acceptance and transaction monitoring systems:

This course will consider the use of automated customer acceptance and transaction monitoring systems. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of data presentation. The course will examine current vendor products. The course will also make use of case studies.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be an Elective in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Combatting Money Laundering and Terrorism Financing: A Comprehensive Training Guide (2009)

Ross Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani,
Materials on Financial Integrity Regulatory Compliance

Demonstrations of products offered by vendors

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Willie Maddox, Richard Small, Philip DeLuca, Karim Rajwani

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Phil DeLuca, Senior Vice President and Compliance Managing Director, JPMorgan Chase Bank, Columbus, OH

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Karim Rajwani Global Head, Anti-Money Laundering, *Royal Bank of Canada*, Toronto, Canada

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System

Procedures for Proposing New Courses or Seminars

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10. State name of proposed course or seminar:

Selected topics in automated financial intelligence unit systems: automated tools and transaction activity analysis

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will consider the use of automated systems for government financial intelligence units. It will examine key issues in how such systems work, what systems are currently available, and how they can be improved.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Selected topics in automated financial intelligence unit systems: automated tools and transaction activity analysis: This course will consider the use of automated systems for analyzing suspicious transaction reports and other data to develop actionable intelligence. It will examine key issues in data base formation, including web-based text recognition and analysis, link analysis, and different forms of statistical discriminant and regression analysis, and forms of intelligence presentation. The course will examine current vendor products. The course will also make use of case studies.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be an Elective in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Combatting Money Laundering and Terrorism Financing: A Comprehensive Training Guide (2009)

Sean Mark, Patrick O'Sullivan, Boudewijn Verhelst, Materials on Financial Intelligence Unit Automation

Demonstrations of products offered by vendors

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by Sean Mark, Patrick O'Sullivan, and Boudewijn Verhelst

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Sean Mark, Senior Analyst, AUSTRAC, Sydney and Sargent, Australian Federal Police

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Boudewijn Verhelst, Chairman, the Egmont Group and Co-Director, the Belgian Financial Intelligence Unit, Brussels, Belgium

Procedures for Proposing New Courses or Seminars

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11. State name of proposed course or seminar:

Selected preventive measures issues for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will consider risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and regulation and supervision for the non-bank financial sector.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Selected preventive measures issues for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses: This course will examine in detail measures that for insurance companies and agents/brokers, securities firms, broker-dealers, mutual funds/collective investment schemes, investment advisors, and money services businesses are required to implement to prevent and uncover money laundering/financing of terrorism and proliferation. It will focus on the key preventive measures of risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and the regulation and supervision of non-bank financial institutions with respect to preventive measures implementation. The course will also review the use of automated systems and make use of case studies.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be an Elective in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who

has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Ross Delston, Richard Gordon, and Sean Watterston, Materials on CDD, STR Reporting, and Compliance Supervision in the Non-Bank Sector

Demonstrations of products offered by vendors

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Richard Gordon, and Sean Watterston

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Sean Watterston, Senior Fellow, Case Program on Financial Regulation, and former Senior Vice President, Enterprise Policy & Regulatory Relations, Bank of America and former Senior Counsel, Securities & Exchange Commission, Office of International Affairs, Washington, DC

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

12. State name of proposed course or seminar:

Selected preventive measures issues with respect to trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation with respect to selective predicate offenses to money laundering and terrorism and proliferation financing.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Selected preventive measures issues with respect to trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing: This course will continue the coverage of risk assessment, customer on boarding and acceptance, customer activity monitoring, and suspicious activity report preparation covered in Preventive Measures in Depth by examining the special circumstances of trade-based laundering, narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The principle focus will be on developing and implementing effective typologies. The course will primarily involve the presentation and discussion of case studies.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course or seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Building and implementing an effective anti-money laundering/financing of terrorism and proliferation compliance program

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be an elective in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who

has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Ross Delston, Philip DeLuca, Willie Maddox, Nikos Passas, Karim Rajwan, Richard Small, Materials on Detection of Predicate Offenses

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Ross Delston, Philip DeLuca, Willie Maddox, Nikos Passas, Karim Rajwan, Richard Small

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Ross Delston, CAMS, Attorney and former Assistant General Counsel, FDIC, Washington, DC

Phil DeLuca, Senior Vice President and Compliance Managing Director, JPMorgan Chase Bank, Columbus, OH

Willie Maddox, CPA, CGMA, CAMS, Vice President, ERM Risk Assessment Manager, KeyBank, Cleveland, OH

Karim Rajwani Global Head, Anti-Money Laundering, *Royal Bank* of Canada, Toronto, Canada

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

Rick Small, CAMS, Vice President, Enterprise AML, Anti-Corruption and Sanctions, American Express, NYC, former managing director of global anti-money laundering at Citigroup, former Special Counsel for Bank Secrecy Act and money laundering matters, The Board of Governors, Federal Reserve System

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

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13. State name of proposed course or seminar:

Selected operational and law enforcement issues with respect to narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing.

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement with respect to certain predicate offenses to money laundering and to terrorism and proliferation financing. The course will focus on case studies.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Selected operational and law enforcement issues with respect to narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing: The course will continue the coverage of investigation and prosecution of money laundering/financing of terrorism and proliferation in operational and law enforcement by examining narcotics, financial fraud, corruption, human trafficking, terrorism, and proliferation financing. The course will primarily involve the presentation and discussion of case studies in each critical area of investigation and prosecution.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three

or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and asset tracing and seizure

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be an Elective in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

Yves Aeschlimann, Richard Barrett, Jeff Breinhold, Jean Pierre Brun, Mark Butler, Sue Eckert, Rick McDonell, Patrick O'Sullivan, Nikos Passas, Susan Pond, Kevin Stephenson, Emile van der Does de Willebois, Boudewijn Verhelst, Materials on Operational and Law Enforcement in Financial Integrity.

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Yves Aeschlimann Richard Barrett, Elizabeth Joyce, Jeff Breinhold, Jean Pierre Brun, Susan Pond, Patrick O'Sullivan, Nikos Passas

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Yves Aeschlimann, Senior Vice President and AML Compliance Officer, UBS and former Financial Sector Expert, The World Bank, and Former Investigating Judge, Zurich, Switzerland

Elizabeth Joyce, Section Chief, Counter-Terrorism Committee, Executive Directorate, United Nations, New York

Richard Barrett, CMG, OBE, International Centre for Counter-Terrorism, The Hague and former Coordinator, Al-Qaida Taliban Monitoring Team, UN, NYC

Jeff Breinhold, founding Co-Director, Counterterrorism Task Force, United States Department of Justice.

Jean Pierre Brun, Financial Sector Specialist, World Bank, Washington; formerly Prosecutor and Investigative Judge, and Director for Forensic and Fraud investigations, Deloitte Finance, Paris.

Pat O'Sullivan, Manager, Financial Intelligence Unit, Wellington, New Zealand

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

Susan Pond, Senior Officer, Political Affairs and Security Policy, NATO Headquarters, Brussels, Belgium

Procedures for Proposing New Courses or Seminars

The following form is to assist those proposing new courses or seminars. Proposal should be submitted to the Curriculum Committee. Proposals will be given a preliminary review by the Curriculum Committee, and then circulated to the faculty for comment. The Curriculum Committee will consider the proposals and any faculty comments and forward a recommendation to the faculty, which has the ultimate power of approval.

This form lists the information that the Curriculum Committee feels it needs to properly evaluate proposals. You may use this form or you may submit the information in your own format. In either event, please try to give all of the information requested. This form is available on a floppy in various word processor formats in case you find it more convenient to give the information on the form itself.

14. State name of proposed course or seminar:

Mutual evaluations by the Financial Action Task Force and assessments by the IMF/World Bank: A practical approach for assessors and countries to be assessed using the Financial Action Task Force Methodology

2. Indicate whether the proposal is for a "seminar" or a "course".

course

3. Describe the subject matter and coverage of proposed course or seminar:

The course will cover the process of assessment compliance with the Financial Action Task Force's 40 Recommendations.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Mutual evaluations by the Financial Action Task Force and assessments by the IMF/World Bank: A practical approach for assessors and countries to be assessed using the Financial Action Task Force Methodology: The course will cover the process of assessment compliance with the Financial Action Task Force's 40 Recommendations by use of the FATF's Methodology of Assessment. It will include all aspects of compliance assessment, from initial self-assessment questionnaire preparation to final discussion of the draft assessment at the FATF/FSRB Plenary.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

No limit.

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Preventive measures in depth: risk assessment, customer on boarding and acceptance, customer activity monitoring, suspicious activity report preparation, and regulation and supervision

Operational and law enforcement in depth: the financial intelligence unit, investigation, and prosecution of money laundering/financing of terrorism and proliferation, and predicate crimes, and asset tracing and seizure

International cooperation in civil and criminal matters in depth

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

This course is to be an Elective in the Executive Master of Arts in Financial Integrity program.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

No.

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

FATF, 40 Recommendations (2012); FATF, Methodology (2013); Various country compliance reports

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

Exam.

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

The course is to be taught by

Richard Gordon, Eliot Kennedy, Nadim Kyriakos-Saad, Richard McDonell, Alejandro Montesdeoca--Broquetas Moni SenGupta. Emile van der Does de Willebois

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course will be offered on a periodic basis throughout the year as part of the Executive Master of Arts in Financial Integrity program.

Faculty Identification:

Eliot Kennedy, Executive Secretary, Asia Pacific Group on Money Laundering, Sydney

Nadim Kyriakos-Saad, Deputy Director, Financial Integrity Group, IMF, Washington, DC

Rick McDonell, Executive Secretary, Financial Action Task Force (FATF), Paris, France

Dr. Alejandro Montesdeoca--Broquetas, former Executive Secretary, GAFISUD (the Latin American FATF-Style Regional Organization), Montevideo, Uruguay

P. Moni SenGupta, Financial Sector Expert, the World Bank, formerly Senior Counsel, IMF, Washington DC

Emile van der Does de Willebois, Senior Financial Sector Expert, Financial Market Integrity/ Stolen Asset Recovery Initiative (StAR), The World Bank, Washington DC

Procedures for Proposing New Courses or Seminars

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15. State name of proposed course or seminar:

Philosophy of anti-money laundering and the financing of terrorism and proliferation: theories of global justice and philosophy of law as a normative basis for international standards

2. Indicate whether the proposal is for a "seminar" or a "course".

Course

3. Describe the subject matter and coverage of proposed course or seminar:

This course will provide a background on philosophy of law, and focus on global justice and applied ethics.

4. Attach copy of course description suitable for incorporation in the Student Handbook. If there is a syllabus, please attach.

Philosophy of anti-money laundering and the financing of terrorism and proliferation: theories of global justice and philosophy of law as a normative basis for international standards: The course will focus on practical and theoretical issues of global justice as they pertain to anti-money laundering and combating the financing of terrorism. What are our obligations to international justice? How do they influence AML/CFT law? The course will consider the normative basis of jurisprudence, comparing legal positivism to natural law theory. Next, the course will look at theories of global justice suitable to answer normative questions on what law should aim at. The remainder of the course will consider practical issues that come into play with AML/CFT law, such as corruption, poverty, distributive justice, human rights, violence, and war.

5. State credit hours requested for the proposed course or seminar. Seminars suitable for satisfaction of the writing requirement can normally be for either three or two credit hours. The difference between the two and three credit hours seminar is described at the end of this form.

3 credit hours.

6. Indicate if you are requesting any size limitations for the proposed course or seminar. Writing seminars are normally limited in size, with 12 the norm if the seminar is suitable for satisfaction or writing requirement. If you wish to limit the enrollment in a course, please explain the reason for the limitation.

none

7. Please list any prerequisites. If the course of seminar overlaps with existing courses or seminars, should students be permitted to take more than one of the overlapping courses or seminars?

Introduction to the criminology of money laundering and to international standards on combating money laundering and the financing of terrorism & proliferation

8. Please explain why this course or seminar should be added to the curriculum. Does the proposed course or seminar overlap with any existing course or seminar? If so, please explain the extent of overlap and the reason why the overlap should not bar the approval of the new course or seminar. If there is an overlap, please discuss this with the faculty members teaching the overlapping courses or seminars.

An elective in the Executive Master of Arts Degree in Financial Integrity, this course provides guidance in what the law should be as opposed to current law. It will help provide students tools to determine the value of existing laws as well as offer comprehensive theories providing answers on these issues.

9. Indicate if the proposed course or seminar is to replace an existing course or seminar.

No.

10. Indicate if the new course or seminar can be used to satisfy the upper-level writing requirement. How many students may use the proposed course or seminar to satisfy the writing requirement?

11. Indicate the casebook or course materials that you recommend as most suitable for the proposed course or seminar, and attach a copy of the table of contents. If there are no published material suitable for the course or seminar, indicate who has or who will prepare unpublished course materials. If possible attach an outline, table of contents, or description of such unpublished materials.

“Global Justice: Seminal Essays,” edited by Thomas Pogge and Darrel Moellendorf

This book will be supplemented by additional articles and book excerpts to be provided under fair use copyright laws on PDF.

12. Most courses are graded by an examination, and most seminars by a paper. Indicate whether the students will be required to take an examination, write a paper or both. Is there an optional paper?

exam

13. Indicate the names of existing faculty willing and able to teach the proposed course or seminar. If the proposed course or seminar is expected to be taught by an adjunct, please attach the resume or some description of the background and qualifications of the proposed adjunct. If the course or seminar is to be taught by more than one person, please so indicate.

Jill Delston, Sue Eckert, Nikos Passsas,

14. Indicate whether the expected need for the proposed course or seminar justifies that it be offered every year or only periodically, i.e. every other year.

The course need only be offered on a periodic basis as an elective

Attachment

Global Justice: Seminal Essays (Thomas Pogge and Darrel Moellendorf eds)

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Faculty Identification:

Jill Baker Delston, Assistant Teaching Professor, Philosophy Department, University of Missouri, St. Louis, MO

Hon. Sue Eckert, Senior Fellow, the Watson Institute, Brown University, Providence, RI, former Assistant Secretary of Commerce, Washington, DC

Nikos Passas, Professor of Criminology, Northeastern University, Boston, MA

YVES AESCHLIMANN

4d chemin des Fraisières
1212 Grand-Lancy
+41 173 60 11
46, Swiss, married, two children

PROFESSIONAL EXPERIENCE

Since January 2013: Senior Vice-President, Group Compliance Officer at Banque Privée Edmond de Rothschild SA, Geneva (“BPER”)

My duties include overseeing Compliance within the BPER Group; managing BPER’s Compliance Department; monitoring the operations of the Compliance Departments of the BPER Group entities; chairing or serving on various committees at the BPER, BPER Group and Edmond de Rothschild Group levels; acting as the main liaison officer with national authorities on matters relating to Compliance, particularly the prevention of money laundering and terrorist financing; helping to implement the government’s “clean money” strategy within the BPER Group.

January 2010 - December 2012: World Bank, Washington DC, Senior Financial Sector Specialist on integrity in financial markets

My duties included helping clients (sovereign States) to implement the Financial Action Task Force (FATF) recommendations in their countries; drawing up multidisciplinary action plans with the parties involved in combating money laundering and terrorist financing, particularly Ministries of Justice, Finance and the Interior, central banks, financial regulators, financial intelligence units and private-sector players, including banks.

I also developed practical training material on the prevention of money laundering and terrorist financing and provided it to prosecutors, judges, inspectors, financial intelligence units and private-sector players.

I represented the World Bank in its dealings with institutions such as FATF, regional FATF organisations, the UN, the OECD and Egmont and took part in their working groups.

I gave lectures on money laundering, corruption, international cooperation and the recovery of assets stolen by Politically Exposed Persons (PEPs) at numerous international conferences, on behalf of the public and private sector players, including banks.

On behalf of the Stolen Asset Recovery Initiative (StAR) I advised certain governments on moves to recover assets that had been stolen, laundered and invested in international financial centres; I also contributed to various StAR publications.

January 2001 - December 2009: Magistrate with the Geneva Judiciary

January 2001 - May 2002: As Deputy State Prosecutor of Geneva I headed multidisciplinary teams conducting preliminary enquiries; drafted Court documents (ordinances, opinions and appeals); assisted the prosecuting attorneys at hearings held by the Indictment Division, the Police Court, the Criminal Court and the Geneva Court of Appeals; served on various cantonal and national commissions.

June 2002 - December 2009: As an investigating magistrate in Geneva (from 2007 exclusively on cases involving financial crimes), I dealt with judicial information with international ramifications on money laundering, corruption and other related infractions; directed multidisciplinary teams conducting preparatory investigations; executed requests for international judicial assistance; participated in working groups with other judges in Switzerland and abroad; conducted adversary hearings; drafted Court orders; served on various cantonal and national commissions and took part in national and international conferences; had contact with the Federal Departments of Foreign Affairs, Justice, etc., on sensitive cases involving PEPs, and with FINMA on cases involving banks' governing bodies.

July 1999 - December 2000: Chief Clerk at the Geneva Court of First Instance

I directed a department with about 50 employees, which mainly involved managing human resources, organising the workflow, drawing up the budget and assisting the Chief Justice in administrative and judicial matters; helped to set up an in-service training programme for new and veteran staff; collaborated closely with external consultants who had been hired to study the processes and organisational structure of the various sections of the Clerk's Office and to propose ways to improve them.

June 1996 - June 1999: Attorney at the Geneva Bar

Working first as a self-employed barrister and subsequently for Collective Defence, I acted on behalf of clients; did legal consulting; took part in negotiations at the pre-litigation and litigation levels, at hearings and during pleas; drafted Court documents at the cantonal and federal levels in the areas of civil, criminal and administrative law.

Education/training

1999 - 2000 Senior executive training with the Geneva Cantonal Government

1996 - 1999 Faculty of Law of the University of Geneva, research and teaching assistant to Jean-François Perrin, Professor of Civil Law (and an expert in matrimonial and inheritance law)

- 1994 - 1996 Admission to the Geneva Bar
- 1989 - 1993 Faculty of Law of the University of Geneva, Master's in Law completed in 1993
- 1987 - 1989 Centre national d'enseignement à distance (France), Bachelor's degree in Philosophy by correspondence, completed in 1989
- 1984 - 1987 Apprenticeship as an office employee in Geneva, Federal Certificate of Capacity completed in 1987
- 1983 - 1984 Senior high school in Sloan (Iowa), USA

Languages

French: mother tongue

English: written and spoken fluently

German: good speaking skills, school-level writing ability

Jean-Pierre BRUN
Born: 09/24/1962
Senior Financial Specialist
Financial Market Integrity Unit
World Bank (Washington DC)
jeanpierre.brun@yahoo.fr
1-202-297-7079

Professional experience

2008-2013: World Bank, Senior Financial Specialist, Financial Market Integrity Unit (FPDFI), and World Bank-UNODC Stolen Asset Recovery Initiative (StAR), Washington DC.

- Coordinating Anti-Money Laundering technical assistance provided by World Bank teams in the Middle East and North Africa Region. This technical assistance includes: assessing supervisory and investigative capacity of relevant authorities; providing recommendations for legislative or administrative reforms; and training compliance officers, supervisors from central banks, investigators, prosecutors and judges.
- Leading StAR teams providing strategic, legal, and operational assistance to develop and facilitate international investigations initiated by governments (including Tunisia, Senegal, Libya and Egypt) seeking to recover ill-gotten gains from former officials. Technical Assistance includes: designing investigative and legal strategies; recommendations to enhance domestic as well as international inter-agency coordination; and facilitating international cooperation in the context of mutual legal assistance.
- Successfully selected, managed and led a culturally and professionally diverse team composed of more than thirty five bank staff, consultants and external experts from various law enforcement agencies to draft and publish the "Asset Recovery Handbook". The book, which has become one of the Bank's best sellers, provides investigators and prosecutors in developing countries with a step-by-step, practical approach for investigating international corruption and recovering stolen assets located in foreign jurisdictions. It has been translated into French, Spanish, Arabic, Spanish, Korean and Thai languages.
- Developed partnerships and joint projects with various international organizations and represented the Bank at meetings with the OECD, UN, UNODC, IMF and national law enforcement agencies, including the US DOJ, the SEC, and the UK Serious Fraud Office. These joint projects included the drafting of a new OECD/StAR publication on the quantification of proceeds of bribery, and the creation of a StAR-Interpol network of asset recovery focal points.

2008: Deloitte Finance, Director, Paris (France)

- Successfully managed and supervised teams of investigators and auditors conducting international investigations into fraud and corruption allegations in the context of corporate activities. Drafted recommendations to support and implement preventive anti-corruption measures.

2004-2007: Tribunal of Paris, Deputy Chief Prosecutor

- Successfully managed and supervised investigative teams and prosecuted approximately 65 money laundering and corruption cases, including by assessing allegations, formulating investigative strategies, analyzing financial and forensic evidence, preparing investigative reports, and presenting evidence to courts.
- Promoted innovative strategies to develop domestic and international interagency cooperation, including by establishing and managing joint teams of investigators with national as well as international law enforcement authorities.

2003-2004: Tribunal of Bordeaux (France), Vice President and Investigative Judge

- Successfully managed and supervised teams of investigators and financial analysts conducting 55 simultaneous financial investigations. Ensured that legal and evidentiary requirements were met during the investigative process and referred investigative findings to competent courts. Presided adjudication hearings.

1997-2003: Cour des Comptes, Paris, Financial Investigator and Auditor

- Conducted fraud and corruption investigations, as well as management and financial audits, of administrative bodies and state-owned companies with international operations.
- Prepared, presented, and defended reports, briefs or referrals to ensure that ministers and judicial authorities undertook appropriate judicial proceedings, and implemented preventive measures, as a result of key findings.

1994-1996: Ministry of Justice, Paris, Insolvency and Bankruptcy Specialist

- Supervised the work of chief prosecutors and attorneys representing the Government in significant insolvency and bankruptcy proceedings involving financial institutions. Drafted legislation and participated in international negotiations regarding bankruptcy and insolvency.

1990-1994: Tribunal of Marseille (France), Prosecutor

- Managed and supervised investigations of complex fraud and transnational corruption and directed investigative teams.

Publications

2011: Asset Recovery Handbook, a Guide for Practitioners
(Stolen Asset Recovery initiative, the World Bank-UNODC, 2011).

2011: Barriers to Asset Recovery, an Analysis of the Key Barriers and Recommendations for Action (Stolen Asset Recovery initiative, the World Bank-UNODC, 2011).

2012: Joint StAR/OECD typology of quantification of proceeds of bribery.

Education

1985: Master's Degree, Political Science (Institute for Political Science, Paris)

1986: Master's Degree in Law (University of Aix-en-Provence)

1990: National School of the Magistrates (Certified to serve as a prosecutor and judge)

1995: Master's Degree in Criminal Law (University of Paris-Sorbonne)

2008: Trust Funds Accreditation Program (World Bank)

JILL B. DELSTON, P.H.D.

University of Missouri-St. Louis Department of Philosophy
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1 University Blvd.
St. Louis, MO 63121
(314) 707-6039 • jdelston@wustl.edu

AREAS OF SPECIALIZATION

Social and Political Philosophy
Ethics (Normative and Applied)

AREAS OF COMPETENCE

Ancient Philosophy
History of Political Thought
Philosophy of Law

EDUCATION

Ph.D. in Philosophy Washington University in St. Louis Dissertation: "A Hybrid Theory of Global Justice" Committee: Eric Brown (co-chair), Larry May (co-chair), Marilyn Friedman, Clarissa Hayward, Andrew Rehfeld, Christopher H. Wellman (Dissertation abstract available)	August 2011
M.A. in Philosophy Washington University in St. Louis	May 2007
B.A. in Liberal Arts (Great Books curriculum) St. John's College, Annapolis, Maryland	May 2004

AWARDS AND RECOGNITION

Missouri Learning Commons (National Center for Academic Transformation) Course Redesign for Business Ethics, May 2013. (\$5,000)

New Faculty Innovation Grant, University of Missouri-St. Louis, October 2012.

Teaching Citation, Washington University in St. Louis Teaching Center. (Awarded after completing an optional program for doctoral students.) September 2010.

Mellon Dissertation Fellowship Seminar, "The Shadow of the Law" with stipend, Summer 2010. (Declined)

First Place Ethics Contest Winner, "The Most Urgent and Neglected Ethical Issue of Our Time Is Environmentalism." The Washington University in St. Louis Center for the Study of Ethics & Human Values, 2009. (\$500)

PUBLICATIONS

Applied Ethics: A Multicultural Approach. Edited with Larry May and Kai Wong. 5th edition, 2010. Prentice Hall.

CONFERENCE PRESENTATIONS AND COMMENTARY

- “The Criminalization of Money Laundering and Terrorism in Global Contexts: A Hybrid Solution” Spring 2013
American Philosophical Association, Central Division
- “The Criminalization of Money Laundering and Terrorism in Global Contexts: A Hybrid Solution” Spring 2013
Political Theory Workshop, Washington University
- “Why Virtue Ethicists Parent Poorly: The threat of developmental psychology for moral education and childrearing in virtue ethics” Summer 2012
Research Symposium, Washington University
- “A Hybrid Theory of Global Justice” Fall 2011
Colloquium, Washington University
- “Constructivist Theories of International Norms Complete Non-Constructivist Theories,” University of Georgia Graduate Student Conference, Athens Georgia Spring 2011
- “A Hybrid Theory of International Justice,” North American Society for Social Philosophy, Ryerson University Summer 2010
- “A Qualified Attack on Naturalism and Natural Law Theory,” Political Theory Workshop, Washington University Fall 2009
- Commented on “From Military Checkpoints to ‘Terminals’ in the Occupied Territories: The Dangers of Modernizing Power” by Daniela Mansbach, Political Theory Workshop, Washington University Spring 2009
- Commented on “Accountability Mechanisms and National Security Secrecy,” by Kathleen Clark, Political Theory Workshop, Washington University Fall 2008
- “The Limited Leviathan,” North American Society for Social Philosophy, University of Victoria, Canada Summer 2007
- “A Quota on Quotas,” Political Theory Workshop, Washington University Fall 2006
- “The Limited Leviathan,” Ethics Reading Group, Washington University Spring 2006

TEACHING EXPERIENCE

Philosophy of Law (graduate level) Assistant Teaching Professor, UMSL	Fall 2013
Recent Ethical Theories (graduate level) Assistant Teaching Professor, UMSL	Fall 2013
Present Moral Problems Assistant Teaching Professor, UMSL	Fall 2013
Honors International Business Ethics Assistant Teaching Professor, UMSL	Spring 2013
Environmental Ethics Assistant Teaching Professor, UMSL	Spring 2013
Seminar in Ethical Theory (graduate level) Assistant Teaching Professor, UMSL	Fall 2012
Business Ethics Assistant Teaching Professor, UMSL	Fall 2012
Approaches to Ethics Assistant Teaching Professor, UMSL	Fall 2012
Ethics Visiting Assistant Professor, Mt. Holyoke College	Spring 2012
Foundations of Western Thought: History of Ancient Philosophy Visiting Assistant Professor, Mt. Holyoke College	Spring 2012
Social and Political Philosophy Visiting Assistant Professor, Mt. Holyoke College	Spring 2012
Advanced Social and Political Philosophy (Independent Study) Visiting Assistant Professor, Mt. Holyoke College	Spring 2012
International Justice: Possibilities and Limits Visiting Assistant Professor, Mt. Holyoke College	Fall 2011
First Year Seminar: What Is the Good Life? Visiting Assistant Professor, Mt. Holyoke College	Fall 2011
First Year Extended Seminar (Supplemental class for first year seminar)	Fall 2011

Biomedical Ethics Instructor, University College at Washington University	Summer 2010
Biomedical Ethics Instructor, University College at Washington University	Spring 2010
Present Moral Problems Instructor, University College at Washington University	Summer 2009
Environmental Ethics Instructor, University College at Washington University	Summer 2008
Great Philosophers Instructor, University College at Washington University	Summer 2007

TEACHING ASSISTANT EXPERIENCE

All courses at Washington University in St. Louis

Classical Ethical Theories	Spring 2011
Present Moral Problems	Fall 2010, Spring 2010, Fall 2009, Fall 2006
Introduction to Environmental Ethics	Spring 2008
Great Philosophers	Spring 2007, Spring 2006
Biomedical Ethics	Fall 2007, Fall 2005

WORKS IN PROGRESS

“Sovereignty, Absolutism, and Natural Law in Hobbes’ *Leviathan*” (Under Review)
 “Weighing the Decision-Value Principle in the Prisoner’s Dilemma”
 “The Criminalization of Money Laundering and Terrorism in Global Contexts: A Hybrid Solution”

MEMBERSHIPS AND SERVICE

Member, Association of Certified Anti-Money Laundering Specialists, 2012 – present
 Faculty Advisor, Mount Holyoke Debate Society, 2011 – 2012
 Member, American Philosophical Association, 2010 – present
 Member, Washington University Workshop on Politics, Ethics, and, Society 2004 – 2011, 2012 – present
 Member, Washington University Ethics Reading Group, 2004 – 2011
 Member, St. Louis Area Group Reading Ancient Philosophy (in Ancient Greek), 2005 – 2011
 Peer Mentor, Washington University Graduate Philosophy Department 2007-8, 2009-11
 Member, Washington University Meta-Ethics Reading Group, 2009 – 2011
 Member, Campus Kitchens [delivers food to local shelters], 2009 – 2011
 Research Assistant, Anne Margaret Baxley, “The Price of Virtue,” *Pacific Philosophical Quarterly*,” Vol. 88, Issue No. 4, pp. 403-423. 2007.
 Coordinator, Washington University Prospective Student Weekend, 2007

LANGUAGES

Ancient Greek

REFERENCES

Eric Brown, Washington University

eabrown@wustl.edu

Marilyn Friedman, Vanderbilt University

marilyn.friedman@vanderbilt.edu

Larry May, Vanderbilt University

larry.may@vanderbilt.edu

Christopher H. Wellman, Washington University

kwellman@artsci.wustl.edu

Lee Bowie, Mount Holyoke College (teaching letter)

lbowie@mtholyoke.edu

Exhibit B: *Curriculum Vitae* of Ross Delston

ROSS S. DELSTON, CAMS
ATTORNEY + EXPERT WITNESS
WASHINGTON, DC

(202) 494-5835 (O)
www.linkedin.com/in/rossdelston

(202) 280-1465 (F)
ross@globalaml.com

SUMMARY: Attorney, Certified Anti-Money Laundering Specialist (CAMS), and former US banking regulator (FDIC) with substantial expertise in Bank Secrecy Act/Anti-Money Laundering (BSA/AML) compliance, including expert witness engagements in civil fraud cases; BSA/AML audits, reviews and testing; and international anti-money laundering and combating the financing of terrorism (AML/CFT) compliance projects.

LAW OFFICE OF ROSS S. DELSTON, WASHINGTON, DC **2006 – PRESENT**

- Expert witness on BSA/AML compliance issues in three civil cases (including a FINRA arbitration and in state court) against major banks and broker-dealers.
- Completed three annual independent BSA/AML reviews of a public company; currently planning the fourth annual review. Also participated in the independent BSA/AML audit of a regional broker-dealer.
- Retained by financial regulator of major offshore financial center to conduct a review of its AML/CFT compliance activities and risk assessment as well as elements of the regulated sector in order to strengthen the island's supervisory framework.
- Assisted Bryan Cave law firm on 15-month project (April 2007 – July 2008) as part of AIG monitorship. Reviewed AIG's BSA/AML compliance functions including its insurance, broker-dealer, investment adviser, banking and real estate units worldwide; analyzed compliance policies; interviewed compliance officers; and drafted recommendations for effective implementation of US laws, regulations and guidance.
- Consultant to International Monetary Fund (IMF) since 1997, including nine AML/CFT assessments of offshore financial centers such as Saint Vincent (2010) and Bermuda (2008), drafting legislation for member countries, and training government officials.
- Consultant to World Bank since 1998 on banking regulation, enforcement, resolutions.

MANAGING DIRECTOR, KALORAMA PARTNERS, WASHINGTON, DC **2005 – 2006**

- Advised financial services firms on compliance issues as a member of strategic consulting firm headed by former SEC Chairman Harvey Pitt.
- Consultant to Kalorama on review of compliance program for broker-dealer to ensure consistency with NYSE and NASD requirements, October 2005.

LEGAL DEPARTMENT, INTERNATIONAL MONETARY FUND, WASHINGTON, DC

Consulting Counsel (full-time) specializing in AML/CFT **2000 – 2005**

Legal Consultant (project basis) on banking laws **1997 – 2000**

- **OFC Coordinator:** Designated by General Counsel to coordinate legal team during initial phase of offshore financial center assessment program, July – January 2000.
- **AML/CFT assessments:** Participated in assessments of seven offshore financial centers: Aruba, Curacao, Gibraltar, Guernsey, Isle of Man, Jersey, and Panama.
- **Legislative drafting:** Drafted laws on AML/CFT and banking for numerous countries in Africa, Asia, Eastern Europe, and the former Soviet Union.
- **Training:** Organized and/or participated in numerous training seminars on AML/CFT and banking issues in Asia, Europe and the former Soviet Union.

LAW OFFICE OF ROSS S. DELSTON, WASHINGTON, DC **1994 – 2000**

- Specialized in bank regulatory and transactional matters for clients such as a Fortune 50 industrial corporation, a major commercial bank, an S&L holding company, an industrial loan company, a high-tech bank services company and two national law firms.
- Reviewed US government agency proposal for compliance and OFAC program.
- World Bank consultant on banking issues; missions to Philippines and Turkey.

OF COUNSEL, JONES DAY, WASHINGTON, DC **1991 – 1994**

- Specialized in bank mergers and acquisitions and regulatory matters.
- Represented a money-center bank in successful bid on an insolvent bank controlled by the FDIC, and a consumer finance firm in chartering an industrial loan company.
- Testified on open bank assistance before RTC Oversight Board.

**COUNSEL AND ASSISTANT GENERAL COUNSEL – ASSISTED ACQUISITIONS,
LEGAL DEPARTMENT, FEDERAL DEPOSIT INSURANCE CORP.,
WASHINGTON, DC** **1986 – 1991**

- Created, organized and headed 20-attorney Assisted Acquisitions unit, advised FDIC Chairman and Board, led teams responsible for drafting and negotiating deal documents, hired and supervised outside counsel, and implemented training.
- Responsible for the legal work on resolutions of major insolvent banks during US banking crisis, including open bank assistance for First City and BancOklahoma as well as bridge bank transactions for Bank of New England, First Republic, and MCorp, virtually all of the largest bank failures during that period.

COUNSEL, EXPORT-IMPORT BANK OF THE US, WASHINGTON, DC **1976 – 1986**

- Drafted and negotiated numerous loan, guarantee, and insurance transactions.
- Lead attorney on a \$1.5 billion emergency trade credit facility for Brazil, at that time the largest commitment ever authorized by the Export-Import Bank.
- Traveled to Nigeria, Ivory Coast, Senegal, Ecuador, and Bolivia to assess projects.

CERTIFICATIONS & MEMBERSHIPS

- Certified Anti-Money Laundering Specialist (CAMS), 2007 – present.
- Certified CAMS Trainer, 2010 – present.
- Founding board member, US Capital Chapter of Association of Certified Anti-Money Laundering Specialists (ACAMS), 2009 – 2011; Advisor to Board, 2011 – present.
- Co-chaired American Bar Association International AML Committee, 2008 – 2011, then appointed Vice Chair, currently Senior Advisor.
- International Editorial Board, Journal of Banking Regulation (London) 2004 – present.
- Executive Council, Banking Law Committee, Federal Bar Association, 2012.
- District of Columbia Bar Association, 1976 – present. Served on Membership Benefits Committee, 1995 – 2001 (Best Bar Committee Award, 2000).
- AV rated by Martindale-Hubbell Law Directory (highest rating).

EDUCATION

The George Washington University Law School, J.D. with honors, 1976.
The George Washington University, B.A. with Special Honors, 1973.

PUBLICATIONS, PRESS CLIPPINGS AND SPEAKING ENGAGEMENTS, ATTACHED

ROSS S. DELSTON, CAMS: PUBLICATIONS & PRESS CLIPPINGS, 1999 – PRESENT
(AS OF AUGUST 14, 2013)

PUBLICATIONS:

“Insights: Did FinCEN Just Burst Bitcoin’s Bubble?” Moneylaundering.com News, May 31, 2013 (op-ed piece on FinCEN guidance issued in March 2013).

“Strengthening Our Security: A New International Standard on Trade-Based Money Laundering is Needed Now” (co-authored with Stephen Walls), 44 *Case Western Reserve Journal of International Law* 737 (2012). The article was reprinted in the *Annual Review of International Banking Law & Practice* (Institute of International Banking Law & Practice, 2013). An updated version will be reprinted in *ACAMS Today* (forthcoming 2013). For the original article, see: [http://law.case.edu/journals/JIL/Documents/\(10\)%20Delston%20&%20Walls%20Final.pdf](http://law.case.edu/journals/JIL/Documents/(10)%20Delston%20&%20Walls%20Final.pdf)

“St. Vincent and the Grenadines: Detailed Assessment Report on Anti-Money Laundering and Combating the Financing of Terrorism,” IMF Country Report No. 10/311 (2010), one of four co-authors as part of IMF team, available at: www.imf.org/external/pubs/ft/scr/2010/cr10311.pdf

“Reaching Beyond Banks: How to Target Trade-based Money Laundering and Terrorist Financing Through Preventive Measures Outside the Financial Sector” (co-authored with Stephen Walls), 41 *Case Western Reserve Journal of International Law* 85 (2009). The article was reprinted in the *Annual Review of International Banking Law & Practice* at 11:81 (Institute of International Banking Law & Practice, 2011) and *Combating Money Laundering and Terrorism Finance: Past and Current Challenges*, at p. 737, N. Beekarry, ed. (Edward Elgar Publishing Ltd., 2013). Edited versions were published in *Money Laundering Bulletin* (London, July/August 2009); *NetPractice Exchange*, Vol. 3, No. 3, at p. 16 (November/December 2009); and the American Bar Association’s *International Trade Committee Newsletter*, Vol. IV, No. 1, at p. 12 (November 2009). For the original law review article, see www.martindale.com/international-trade-law/article_Ross-S-Delston_738600.htm

“‘To Protect or Not to Protect, That is the Question’: Statutory Protections for Financial Supervisors – How to Promote Financial Stability by Enacting the Right Laws” (co-authored with Prof. Andrew Campbell, University of Leeds, UK), published in *Current Developments in Monetary and Financial Law*, Vol. 5 (IMF 2008), available at: www.jdsupra.com/legalnews/to-protect-or-not-to-protect-that-is-t-72308/

“The 41st FATF Recommendation: Why preventive measures targeting trade-based money laundering should reach beyond banks,” *ACAMS Today* (July/August 2008), originally published in *Money Laundering Bulletin* (London, March 2008), available at: www.jdsupra.com/legalnews/the-41st-fatf-recommendation-why-preven-24691/

“Bermuda: Detailed Assessment Report on Anti-Money Laundering and Combating the Financing of Terrorism,” IMF Country Report No. 08/105 (2008), one of four co-authors as part of IMF team, available at: www.imf.org/external/pubs/ft/scr/2008/cr08105.pdf

“Viewpoint: Regulatory Blitz for Subprime Players?” *American Banker* (November 9, 2007)(opinion piece about legal issues relating to bank closings).

Phillip A. DeLuca

Phil is a Senior Vice President and Compliance Managing Director for JPMorgan Chase, where he oversees AML / CTF investigations. He has over twenty-five years of security and investigations management experience. During that time, he has conducted and managed investigations involving financial fraud (including credit card and merchant fraud), internal fraud and embezzlements, and AML related crimes for major financial services providers. Through his expertise and leadership, he has closely partnered with various law enforcement agencies on innovative techniques to identify illicit activity through transaction analysis resulting in numerous successful prosecutions.

Most recently, he leads a team of diverse professionals who perform in-depth transactional analysis and background investigations to identify, prevent or respond to financial or reputational exposures. He is a member of an enterprise wide AML Oversight Committee made up of senior level business unit managers tasked to develop effective strategies for corporate-wide implementation in response to regulatory challenges.

He joined one of JP Morgan Chase's predecessor banks in 1996 as Regional Investigations manager in the Audit Department after holding a similar position for a Pennsylvania based financial institution for several years.

EDUCATION

Indiana University of Pennsylvania

BA Criminology, 1978

University of Virginia, Darden Graduate School of Business

Diploma, Strategic Leadership, 1998

Nadim Kyriakos-Saad

Nadim Kyriakos-Saad is Senior Counsel in the Legal Department of the International Monetary Fund. He joined the Fund in 1998.

Kyriakos-Saad also serves as Deputy Director of the Financial Integrity Group at the Fund and head of the Policy Surveillance and Programs Unit.

Kyriakos-Saad specializes in anti-money laundering and combating the financing of terrorism (AML/CFT) issues. He contributes to the design of the Fund's policy on AML/CFT and has carried out a number of country assessments as well as technical assistance missions in Asia, Africa, Europe, the Middle East, and the Western Hemisphere. He has also authored and co-authored a number of key IMF publications on AML/CFT matters.

Kyriakos-Saad received degrees in law and political science from Saint-Joseph University in Beirut, and received an LL.M. in international business law and corporate law from Columbia University in New York.

Before joining the Fund, he practiced law from 1988 to 1992 at Bahige Tabbarah Law Offices in Beirut, Lebanon and from 1993 to 1998 at Baker & McKenzie, in Riyadh, Saudi Arabia.

Kyriakos-Saad fluent in Arabaic (native), French (native), English, and Italian.

SUE E. ECKERT
50 Indian Hill Road
Little Compton, Rhode Island 02837
Email: Sue_Eckert@Brown.edu
Tel: 401-863-3928 (office); 401-862-4060 (cell)

Sue Eckert is an internationally-recognized expert and former senior government official with more than twenty-five years of policy, management, and research experience addressing issues at the intersection of international security and economic policies.

Key Professional Experience

Senior Fellow, Watson Institute for International Studies, Brown University (1998 – present)

- Extensive work on proliferation, terrorism, human rights, and armed conflict issues with international organizations (United Nations Security Council, al-Qaida and Taliban sanctions committees, UN Counter-terrorism Implementation Task Force, OHCHR, European Union, IMF, World Bank, Roma/Lyon Group, FATF) and national governments;
- Direct research projects on terrorist financing and UN sanctions, including establishing and managing international consortium of policymakers and scholars conducting the first comprehensive assessment (quantitative and qualitative databases) of the impacts and effectiveness of UN targeted sanctions;
- Author of research reports, books and articles, as well as workshops and initiatives resulting in policy recommendations to strengthen instruments of international governance (sanctions, export controls, critical infrastructure protection and cybersecurity measures, and global norms);
- Developed and hosted training and simulation workshops for the Security Council, member states, NGOs;
- Member of advisory committees addressing security and technology issues, including the National Academy of Sciences (*Deterring Cyberattack: Informing Strategies and Developing Options for U.S. Policy*), the Resource Group advising the United Nations Secretary General's *High-Level Panel on Threats, Challenges, and Change*, International Peace Institute, and U.S. Naval War College

Assistant Secretary for Export Administration, U.S. Department of Commerce (1993–1997)

- Administered U.S. national security and foreign policy dual-use export control laws and programs. Designed and implemented Clinton Administration export reform agenda, including new nonproliferation initiatives and streamlining of high-tech (computers, encryption) controls;
- Supervised regulatory licensing and policy agency of more than 200 employees and \$20 million budget, developed and implemented agency reorganization, directed comprehensive regulatory rewrite, and managed reform of high-tech (computers, encryption) controls;
- Appointed by President Clinton, confirmed by the Senate. Senior political official for first year of Clinton Administration, reporting to Secretary of Commerce Ron Brown and leading agency transition team;

- Lead policy official at Assistant Secretary level on national security-related interagency deliberations on export control and defense industrial base policies, international negotiations for post-Cold War era multilateral regime (Wassenaar Arrangement), legislative proposals reforming the Export Administration Act and Arms Export Control Act, as well as outreach responsibilities with Congress, industry, media and other constituencies.

Related Experience

Independent Consultant (1990– 1993, 1998 – present)

- Consultant on security, sanctions, illicit finance, and technology policy matters to academic/law/consulting groups such as The Graduate Institute (Geneva), the International Peace Institute, Booz-Allen & Hamilton, Scientific Applications International Corporation, the National Academy of Sciences and other clients.

Visiting Fellow, Institute for International Economics (1998 – 1990)

- Research focused on barriers to US exports and issues affecting high-tech industries, including electronic commerce (coauthor of *Global Electronic Commerce: A Policy Primer* (2000))

Professional Staff, Committee on Foreign Affairs, U.S. House of Representatives (1982 – 1989)

- Lead majority staff of the Committee on Foreign Affairs specializing in economic and security issues (economic sanctions, terrorism and nonproliferation issues, export controls, and trade promotion and finance activities)
- Formulated and negotiated legislative proposals, advising Members of Congress on international trade issues, organizing and conducting oversight hearings and investigations, drafting statements and speeches, and acting as liaison with the Executive branch, industry and media for successive chairmen of the Subcommittee on International Economic Policy and Trade [Jonathan Bingham (D-NY), Don Bonker, (D-WA), and Sam Gejdenson (D-CT),] and Committee Chairman Lee H. Hamilton (D-IN)

Legislative Assistant, Congressman Bob Edgar (D-PA), U.S. House of Representatives (1981 – 1982)

- Advisor to the Congressman on trade, economic and foreign policy issues; prepared speeches, floor statements and legislative proposals and served as liaison with constituent and interest groups

Education

- The Fletcher School of Law and Diplomacy, MA (except formal language proficiency), 1990
- Pennsylvania State University, B.A. History/Political Science, magna cum laude, 1980

Eckert Attachment – Publications

“Sanctions and the UN Security Council,” chapter in *The UN Security Council: From the Cold War to the 21st Century*, co-edited by Sebastian von Einsiedel, David M. Malone and Bruno Stagno Ugarte, forthcoming 2014

The Effectiveness of UN Targeted Sanctions, coedited with Thomas Biersteker presenting the research results of the Targeted Sanctions Consortium, forthcoming 2014

UN Security Council, Sanctions and the Rule of Law, chapter in book of the Australian Research Council project of ANU Centre for International Governance & Justice & the Australian Civil-Military Centre, forthcoming 2014

“The History of Congressional Naming and Shaming,” chapter in *Naming and Shaming Experiences*, Center for Transnational Justice, Marquette University, forthcoming 2013

Due Process and Targeted Sanctions: An Update of the ‘Watson Report,’ December 2012, with Thomas Biersteker
(http://www.watsoninstitute.org/pub/Watson%20Report%20Update%2012_12.pdf)

Terrorist Financing Indicators, Report for United Nations Counter-Terrorism Implementation Task Force, October 2012, with Richard Gordon and Nikos Passas

Designing United Nations Targeted Sanctions: Initial Findings of the Targeted Sanctions Consortium (TSC) Evaluating the Impacts and Effectiveness of UN Targeted Sanctions, August 2012, with Thomas Biersteker and Marcos Tourinho
(http://www.watsoninstitute.org/pub/Designing_UN_Targeted_Sanctions_FINAL.pdf)

“UN Nonproliferation Sanctions,” *International Journal* (Special Issue on UN Sanctions, edited by Jane Boulden and Andrea Charron), Royal Military College of Canada, 2010

“The Politics of Numbers in the Financial ‘War’ on Terrorism,” in *Sex, Drugs and Body Counts: The Politics of Numbers in Global Crime and Conflict*, Peter Andreas and Kelly M. Greenhill, ed., Cornell University Press, 2010

Addressing Challenges to Targeted Sanctions: An Update of the Watson Report, Report for the United Nations sponsored by UNO Academia (Geneva, Switzerland), October 2009 co-authored with Thomas J. Biersteker

“The Use of Financial Measures to Promote Security,” *Columbia Journal of International Affairs*, Fall/Winter 2008

Countering the Financing of Terrorism, co-edited with Thomas Biersteker, London: Routledge, 2008

Strengthening Targeted Sanctions Through Fair and Clear Procedures, Report for the United Nations sponsored by the Governments of Switzerland, Germany, and Sweden, March 2006, co-

authored with Thomas J. Biersteker (Also made an official document of the UN General Assembly and UN Security Council - A/60/887-S/2006/331)

“Critical Infrastructure: The Role of the Private Sector in the New Security Environment,” in *Guns and Butter: The Political Economy of International Security*, Dombrowski, ed., Boulder: Lynne Rienner Publishers, July, 2005

“Lessons from the UN’s Counter-Terrorism Efforts,” in *Profiting from Peace: Managing the Resource Dimension of Civil War*, Ballentine and Nitzschke, ed., Boulder: Lynne Rienner Publishers, June 2005

“Targeted Sanctions and State Capacity: Towards a Framework for National Level Implementation,” and “Consensus from the Bottom Up? Assessing the Influence of the Sanctions Reform Processes,” co-authored with Thomas Biersteker, Peter Romaniuk, and Aaron Halegua, in *International Sanctions: Between Words and Wars in the Global System*, Wallensteen and Staibano, ed., New York: Frank Cass Publishers, February 2005

“Report on the Workshop on UN Sanctions Reform,” convened at the Watson Institute for members of the UN Security Council, July 16-17, 2004, co-authored by the Targeted Financial Sanctions Project, December 2004

“Appendix C,” *Update on the Global Campaign Against Terrorist Financing: Second Report of an Independent Task Force Sponsored by the Council on Foreign Relations*, co-authored by Targeted Financial Sanctions Project (analysis comparing the implementation of international terrorist financing measures in countries of the Islamic world), June 2004

“Report of the Workshop on UN Sanctions Reform,” convened at the Watson Institute for members of the UN Security Council, May 2-3, 2003, co-authored by the Targeted Financial Sanctions Project, November 2003

“Supporting Member State Capacity to Implement Targeted Sanctions,” Part III of *Making Targeted Sanctions Effective: Guidelines for the Implementation of UN Policy Options*, co-authored with Thomas Biersteker and Peter Romaniuk, in Wallensteen, Staibano, and Eriksson, ed., Department of Peace and Conflict Research, Uppsala University, February 2003

“Targeted Financial Sanctions: Harmonizing Legislation and Practices” co-authored with in *Smart Sanctions: Targeting Economic Statecraft*, Cortright and Lopez, ed., New York: Roman and Littlefield, January 2002

Targeted Financial Sanctions: A Manual for Design and Implementation, co-authored with Thomas Biersteker and Peter Romaniuk, Watson Institute for International Studies, October 2001

Restructuring Sanctions Against Iraq, Workshop Report, co-authored by Watson Institute for International Studies and Decision Strategies Department of the US Naval War College, April 2001. Policy memo also prepared and briefed to USG representatives summarizing the findings of workshop co-hosted by the Watson Institute and U.S. Naval War College, May 2001

A Report of the Proceedings of the Targeted Financial Sanctions Simulation, *co-authored*,
Winter 2000

Global Electronic Commerce: A Policy Primer, co-authored with Catherine L. Mann and Sarah
Cleeland Knight, Washington, DC: Institute for International Economics, July 2000

"Targeted Financial Sanctions: A Primer," Background paper for the Targeted Financial
Sanctions Simulation Exercise, co-authored, Naval War College, May 2000

Author of numerous policy papers, memoranda, limited distribution documents, and other
publications in the Executive Branch and Congress

Eckert Attachment – Selected Presentations and Activities

UN Sanctions: Are Coercive Tools Effective? *Presentation of the Initial findings of the Targeted Sanctions Consortium Project*, “Evaluating the Impacts and Effectiveness of UN Targeted Sanctions,” Brown University, 29 January 2013

“*Targeted sanctions, Human Rights and Due Process – The future of the 1267/1989 Al-Qaida sanctions regime*,” United Nations Office of the High Commissioner for Human Rights (OHCHR) and the Permanent Mission of Germany, New York, 4 December 2013

International Crisis Group Policy and Training Workshop, *Do Sanctions Work?* Brussels, 4-5 September 2012

Testimony before the House of Representatives, Homeland Security Subcommittee on Counterterrorism and Intelligence, *Terrorist Financing Since 9/11: Assessing an Evolving al Qaeda and State Sponsors of Terrorism*, 18 May 2012

Targeted Sanctions Consortium briefings on interim research findings to USG interagency group, U.S. Department of State (May 2012) and UN Missions to the United Nations and UN Secretariat officials, Canadian Mission to the United Nations, April 2012

International Studies Association Annual Meeting, *Round Table on “Power in the Global Information Age,”* April 2012

Briefing of UN-EU Seminar on Targeted Sanctions, EU Mission to the United Nations, March 2012

Geneva Centre for Security Policy, United Nations Panel of Experts on Iran Sanctions, Geneva, 16 March 2012

Chair and Moderator of multiple workshops “Enhancing Skills for Sanctions Support and Implementation” for UN Secretariat, Agency officials, Member States, and representatives of regional organizations, hosted by The Permanent Mission of Canada to the United Nations, January and March 2012

Case Western Reserve Law School Symposium, *“Preventing the Financing of Terrorism,” Interim Findings of Terrorist Financing Indicators Project*, March 2012

Targeted Sanctions Consortium Workshop, *Assessing the Impact and Effectiveness of UN Sanctions*, hosted by the UK Foreign Office, London, 2-4 June 2011

Address to International Security Forum on *WMD Proliferation: North Korea and Iran*, Zurich, June 2011

Co-organizer with Naval War College, Strategic Research Department *Workshop on Cybered Conflict, Threat Perceptions, and Institutional Responses: A Comparative Analysis*, 25-26 May 2011

Strengthening the UN Sanctions Tool, UN Luncheon Address sponsored by the Friedrich Ebert Foundation, New York, May 2011

UN Workshop for Enhancing Skills for Sanctions Support and Coordination, Canadian Mission to the United Nations, April 2011

Great Decisions Lecture: *Sanctions and WMD Proliferation*, Pell Center for International Relations and Public Policy, April 2011

Controlling Non-State Nuclear Proliferation, Nautilus Institute for Security and Sustainability and the Carnegie Endowment for International Affairs, Washington, DC April 2011

Seminar for Canadian Foreign Ministry evaluating current policies focused on Iran and North Korea, with recommendations for enhancing the pressure (sanctions) track, Ottawa, Canada, 18 March 2011

International Studies Association: *Global Governance: Political Authority in Transition*, organizer/participant of roundtable on *Global Governance, Security, and Strategies for Cyberspace*, and chair of panels, *The Impact and Effectiveness of UN Targeted Sanctions: A Comparative Analysis*, Montreal, Canada, March 2011

Briefings at US Departments of State and Treasury on financial sanctions, as well as briefing the United Nations Panel of Experts on Iran Sanctions, 2 March 2011

Presentation to brainstorming session with UN Security Council Committee on al Qaeda/Taliban sanctions, reviewing the effectiveness of counterterrorism sanctions and proposing new policies and initiatives for the German chairmanship of the Security Council Committee, 24 February 2011

Member of National Academy of Sciences Committee, *Deterring Cyberattack: Informing Strategies and Developing Options for U.S. Policy* chaired by Dr. John Steinbruner, December 2009-2010

State Department Roundtable: *Enhancing the Effectiveness of Multilateral Sanctions* for officials of the Departments of State and Treasury and intelligence agencies (one of two academics asked to develop and lead session) 29 July 2010

“Watson Update” Briefing to selected group of United Nations policymakers hosted by the Mission of Canada to the United Nations, 26 March 2010.

Policy Briefing of G-8 Counterterrorism Advisors at the Roma/Lyon Group Meeting on ensuring respect for human rights and due process in terrorism designations, Montreal, Canada, (only non-governmental expert invited to brief and participate) 24-25 February 2010

International Studies Association: *Theory vs. Policy? Connecting Scholars and Practitioners*, organizer/participant of roundtable on *UN Sanctions: A Model of Scholar/Practitioner Collaboration*, and chair of panel, *New Perspectives on Targeted Sanctions*, New Orleans, LA, February 2010

Targeted Sanctions Research Consortium Workshop, The Graduate Institute, Geneva, October 2009

United States Institute of Peace, Member of *Financial Sanctions Study Group on North Korea*, Washington, DC, fall 2009

Mission of Switzerland to the United Nations, Presentation of *The Human Rights Challenge to Targeted Sanctions and Its Implications: An Update of the Watson Report*, New York, September 2009

Watson Institute Choices Program' National Security Institute (helped to organize and teach week-long course on national security issues for high school teachers) July 2007, 2008, 2010 and 2011, and Nuclear Issues Institute, July 2009

Trends in International Terrorism Workshop for Secretary of Defense, Office of Policy Planning, Reston, Virginia, July 2009

Rhode Island Capital Forum, Speaker and Facilitator, Providence, RI, March 2009

International Studies Association Convention: Roundtable Chair, *Economic Sanctions*, and Discussant, *Targeted Sanctions: A Critical Review*, New York, February 2009

Stimson Center Seminar: *Targeted Sanctions and Panels of Experts*, Washington, DC January 2009

Workshop sponsored by the Canadian Mission to the United Nations, *Increasing efficiency and accountability in the implementation of Security Council sanctions*, presentation on Due Process and Human Rights Concerns Associated with UN Sanctions, December 2008

New Thinking on UN Sanctions: Objectives, Methods and Consequence, Workshop at the Royal Military College, Kingston, Ontario November 2008

Meeting of Dubai financial community and hawaladars with the United Nations 1267 Committee Monitoring Team to explore challenges in the implementation of financial sanctions against Al Qaida and the Taliban, UAE, October 2008

Chair, Panel Discussion on the International Process on Global Counter-Terrorism Cooperation - *Enhancing Implementation of the UN Global Counter-Terrorism Strategy*, Center for Counterterrorism Cooperation, New York, July 2008

Brown University's Global Governance Conference, presentation, *Global Governance and Terrorism: The Role of the United Nations*, June 2008

Member, *Task Force on Transnational Security Challenges*, International Peace Institute Project on Strengthening Multilateral Security Capacity, April – June 2008

World Conference on Combating Terrorist Financing, Case Western Reserve Law School, April 9-10, 2008

Wake Forest Law Review symposium on Terrorism Finance, April 3-4, 2008

International Studies Association Convention, presentation: *The Politics of Numbers: Measuring Success in the Financial "War" on Terrorism*, March 2008

United States Institute of Peace (Washington, DC) and the International Peace Academy (New York, NY) symposia, *Countering the Financing of Terrorism*, September 2007

RAND conference "*Licit and Illicit Financial Transactions and Workarounds*," Washington, DC, June 2007

Wilton Park conference, *CBRN Terrorism: Mapping the Threat*, "The role of networks in contemporary terrorism: transnational financing and online networks," May, 2007

United Nations Symposium, *Enhancing the Implementation of United Nations Security Council Sanctions*, "The Nature and Scope of Targeting," April 2007

International Peace Academy and the Center on Global Counter-Terrorism Cooperation workshop: "Contributions of Security Council Committees and their Experts," April 2007

Organized Working Group on Improving Financial Sanctions Against Terrorists, with representatives of major U.S. financial institutions and officials of the UN Monitoring Team on for Al Qaida and the Taliban, New York, February 2, 2007

Council on Foreign Relations Podcast, *Time to Reevaluate Approach to Terrorist Finance*, January 31, 2007

Council on Foreign Relations Program, *The War on Terrorism: The Financial Front*, New York, January 10, 2007

Center for Strategic and International Studies, Study Group on Transatlantic Approaches to Sanctions, Report: *Transatlantic Approaches to Sanctions: Principles and Recommendations for Action*, December 2006

Developed and maintain the *Targeted Sanctions Toolkit* providing policymakers with key texts and up-to-date indices of UN sanctions, to assist in the drafting of UN resolutions imposing targeted sanctions.

Briefing at United Nations of the Report: "Strengthening Targeted Sanctions Through Fair and Clear Procedures," sponsored by the Swedish Foreign Ministry, March 30, 2006

Workshop organized by the UN Office of Legal Affairs on the human rights legal obligations of the UN Security Council, February 9, 2006

Expert Roundtable on "Strengthening UN Targeted Sanctions and Due Process," sponsored by the Government of Germany, January 24-25, 2006

Testimony before United Nations General Working Group on Sanctions on terrorism, November 22, 2005

Working Group on Economic Causes of Terrorism, *International Summit on Democracy, Terrorism, and Security*, Madrid (sponsored by the Club of Madrid), March 8-11, 2005

Geneva Centre for Security Policy, Homeland Security Forum, Geneva, October, 2004

Seminar on the Prevention of the Financing of Terrorism, sponsored by the EC and Dutch Presidency of the European Union, Brussels, September 22, 2004

Member of the Resource Group advising the United Nations' High-Level Panel on Threats, Challenges, and Change established by Secretary-General Kofi Annan November 2003-December 2004

Wilton Park Conference "Assessing Contemporary Security Threats," February 2004

"Targeted Financial Sanctions: Lessons from the Interlaken Process," International Peace Academy Conference on Policies and Practices for Regulating Resource Flows to Armed Conflict, May 2002

Working Group 2 (Measures to strengthen the capacity of members to implement sanctions), Swedish-sponsored Stockholm Process on the Implementation of Targeted Sanctions, 2001-2002

Swiss-sponsored panel of experts examining the UNITA financial sanctions and recommending steps to the Security Council to enhance sanctions' effectiveness, summer 2001

American Bar Association National Institute on Economic Sanctions, May 2001

Study Group on Enhancing Multilateral Export Controls for U.S. National Security, Henry L. Stimson Center, in cooperation with the Center for Strategic and International Studies (CSIS). Congressionally mandated report with findings and recommendations to the U.S. Government on the future of multilateral export controls, April 2001

Security Working Group of the *Technology and Security in the 21st Century: Study on Military Export Control Reform*, Center for Strategic and International Studies, 2000-2001

Testimony before the United Nations Security Council Working Group on General Issues on Sanctions, October 2000

Committee on the Science, Technology, and Health Aspects of the Foreign Policy Agenda of the United States, National Research Council of the National Academy of Sciences. Member of a panel of experts that developed recommendations for the Department of State to improve its scientific and technical expertise ("The Pervasive Role of Science, Technology and Health in Foreign Policy: Imperatives for the Department of State"), 1998-2000

Member of official U.S. Delegations and trade missions, including: Wassenaar Arrangement on Multilateral Export Controls, Secretarial Trade Missions, co-host of U.S. Delegation to EuroNaval, COCOM, OECD, the European Community, INTELSAT and others, 1985-1997

Participant, lecturer, and speaker in numerous conferences, including those sponsored by the United States Institute of Peace, the International Peace Academy, Swedish Foreign Ministry, Swiss Confederation, German Foreign Ministry, American Bar Association, Center for Strategic and International Studies, Henry L. Stimson Center, Sam Nunn Policy Forum, U.S. Naval War College, Stanford University's Center for International Security and Arms Control, National Academy of Sciences, National Association of Manufacturers, NATO, European Community, Forum for U.S.-Soviet Dialogue, Aspen Institute, Center for East-West Trade Policy, Federation of German Industry and others, 1985 – 2007

Commentator on issues of terrorism, terrorist financing, and sanctions, including the *New York Times*, National Public Radio (“One to One,” “Talk of the Nation”), Voice of America, Council on Foreign Relations Podcast

Recipient of numerous awards and scholarships, including from the European Community, the Mary Pillsbury Lord Fellowship at the Fletcher School of Law and Diplomacy, and the Women in Government Relations Scholarship

External research grants received from the United Nations Counter-Terrorism Implementation Task Force, United States Institute of Peace, the Governments of Canada, United Kingdom, Switzerland, Liechtenstein, Sweden, and Germany, UNO Academia, the Carnegie Corporation, and the International Studies Association

ELIZABETH JOYCE

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Current position

2012-present Section Chief – Asia Pacific and Western Hemisphere, Counter-Terrorism Committee Executive Directorate (CTED), United Nations, New York

Responsibilities:

- Supervise delivery of consistent and credible analysis and monitoring of implementation of resolution 1373 (2001) and resolution 1624 (2004) to the Counter-Terrorism Committee of the Security Council, including through the organization of official visits of the CTC to States
 - Supervise facilitation of technical assistance and follow-ups to Committee's visits
 - Coordination of outreach to Member States and IROs, including the FATF, IMF, and World Bank. Work with external partners to develop joint strategic and operational approaches on counter-terrorism
-

Education

1997 Oxford University
Doctor of Philosophy in Politics (D.Phil.)

1993 Oxford University
Master of Philosophy in Latin American Studies (M.Phil.)

1984 Manchester Metropolitan University
Graduate Degree in Law (LL.B. equivalency):
Common Professional Examination

1982 Bristol University
B.A. Honours in English

Distinctions

Head of UN delegation to FATF, 2008-2013

Presiding Officer, Joint Appeals Board, United Nations at Vienna, 2001-2005. Elected to the Board in 2000 and to the position of Presiding Officer in 2001, I led the internal system of justice administration for the United Nations Office at Vienna

between 2001 and 2005, clearing 13 cases in 2003, the largest number of cases ever cleared for Vienna in a single year. I served the Board as a volunteer, in addition to full-time duties. Service in this position gave me an intimate understanding of staff rules and regulations, as well as of the institutional and personal challenges that the organization and its staff members face.

Fulbright EU-US Senior Scholar, 1996-98, Georgetown University, Washington D.C.

Editor-in-Chief, *The Oxford International Review*, 1991-92.

Reuters Fellow, Oxford University, 1991-92.

Economic and Social Research Council (ESRC) Scholarship, UK Government, 1991.

Selected publications

Elizabeth Joyce, "Expanding the International Regime on Money Laundering", in: Philip Reichel (ed.), *Sage Handbook of Transnational Crime and Justice*, London: Sage, (2004).

Elizabeth Joyce, "Transnational Criminal Enterprise: the European Perspective", in: Tom Farer (ed.), *Transnational Crime in the Americas*, New York: Routledge (1999), pp.99-116.

Elizabeth Joyce, "Packaging Drugs: Certification and the Acquisition of Leverage", in: Victor Bulmer-Thomas and James Dunkerley (eds.), *The United States and Latin America: The New Agenda*, Cambridge: Harvard University Press (1999), pp.207-217.

Elizabeth Joyce (ed.), *Latin America and the International Drug Trade*, London: Macmillan (1998).

Selected presentations

More than 40 presentations on substantive issues and representing the United Nations, including events organized by or at the Counter-Terrorism Committee (2008), the Center on Global Counter-Terrorism Cooperation, Washington DC (2008), Council of Europe, Strasbourg (2008), Wilton Park (2007), OSCE/USG, Vienna (2005), Security Council Informal Working Group on General Issues of Sanctions (2005), Asian Development Bank, Manila (2004), UNCITRAL, Vienna (2004), Iranian Government/UNODC, Tehran (2003), Kuwaiti Government (2004), Salzburg Seminar (keynote speaker, 2003), World Bank (2005, 2003).

Employment history

- 2008-2012 Section Chief – Europe and South Asia, CTED
- 2007-2008 Coordinator, Working Group on Terrorist Financing, CTED
- 2005-2008 Senior Legal Officer, Counter-Terrorism Committee Executive Directorate (CTED), United Nations, New York

Responsibilities:

- Maintained relations on behalf of the Counter-Terrorism Committee of the Security Council and CTED with 14 States, including consultations with the Permanent Missions and government officials in capitals, where appropriate.
- Served as Coordinator of Working Group on Terrorist Financing, with responsibility for providing policy advice and recommendations to the Head of ATA0 and the Executive Director on substantive issues related to anti-money laundering and counter-financing of terrorism (AML/CFT).
- Drafted and reviewed substantive advice and guidance on issues and trends to the Committee; supervised preparation and drafting of reports.
- Analyzed Member States' legal, institutional and procedural compliance with counter-terrorism standards and drafted preliminary implementation assessments and reports for the Committee.
- Identified institutional and legal domains in which States require technical assistance, and developed projects to facilitate provision of technical assistance.
- Participated in missions to Member States to assess implementation of Security Council resolutions 1373 (2001) and 1624 (1999); drafted preliminary conclusions and reports.
- Maintained collaborative partnerships, with relevant stakeholders, including the Financial Action Task Force, the International Monetary Fund and the World Bank.
- Participated in meetings of the Committee and its Sub-Committees, making oral presentations, when required.
- Represented CTED in external fora and made substantive presentations.

1999-2005 *Money Laundering Officer, Global Programme against Money Laundering and Officer-in-Charge (2004-2005), Global Programme against Money Laundering, United Nations Office on Drugs and Crime (UNODC), Vienna*

Responsibilities:

- Analyzed Member States' legal, institutional and procedural compliance with anti-money laundering and counter-financing of terrorism standards (AML/CFT); identify institutional and legal domains in which States require technical assistance; supervise preparation and draft reports on Member States' legal compliance with AML/CFT standards.
- Led missions to Member States to assess technical assistance needs.
- Designed, planned, implemented and, where required, directly delivered

specialized technical services to Governments in legal and law enforcement fields.

- Managed field advisor programme of long-term, field-based technical assistance for prosecutors, law enforcement officials and financial institution regulatory personnel. Selected and supervised specialist field-based staff, mentors.
- Led collaborative inter-agency partnerships, coordinating activities and implementing joint projects (active partners included the World Bank, the IMF, Commonwealth Secretariat, OAS-CICAD, Asian Development Bank, the US Department of Justice, and the Egmont Group).
- Led teams on substantive projects, managing, developing and training staff.
- Supervised preparation of benchmarks and best practice.
- Responded to technical questions and provide AML/CFT policy guidance, assistance and liaison to UN system, Member States, inter-governmental bodies and other organizations; supervise preparation and drafting of reports on AML/CFT trends to intergovernmental bodies, including CTC, Security Council and General Assembly, the Commission on Narcotic Drugs and the Crime Commission.
- Represented UNODC in external fora and made substantive presentations.
- Certifying Officer for GPML, responsible for the unit budget and all expenditures.
- As Officer-in-Charge, managed the Unit's operations, and ensured budgetary and administrative compliance of technical assistance, including budget preparation, critical indicators and resource allocation; certified unit expenditures and managed implementation/spending rate.

1998-1999 *Senior Research Associate, Institute for European-Latin American Relations (IRELA), Madrid, Spain*

Responsibilities:

- Support to European Commission, the European Parliament, and regional organizations in Latin America for high-level inter-governmental and bi-regional meetings, and other technical seminars and workshops (approximately 30 annually).
- Leadership of research teams, strategic planning and management of research to track and analyse trends in all aspects of European-Latin American relations, with special emphasis on security and transnational crime, drug policy and criminal legislation.
- Research, drafting and editing of books, reports, briefings, articles and other substantive documentation.
- Editing full-length books produced in partnership with the Inter-American Development Bank (one annually).
- Coordination of multi-disciplinary, multi-national research teams on research and analysis projects.
- Supervision of database on Latin American issues for EU institutions with four full-time substantive staff.
- Supervision of production of well-respected and well-known publications to technically challenging specifications.

- Fund-raising.

1996-1998 *Fulbright Senior Scholar, Georgetown University, Washington, D.C.*

Responsibilities:

- Research and lecture on transnational drugs and crime policy.
- Completed book on the illicit drug trade in Latin America, published by Macmillan.
- Published several chapters, articles, and newspaper op-eds.

1993-95 *Senior Editor, Oxford Analytica, Oxford, U.K.*

Responsibilities:

- Management of Latin America and Africa desks of a major international research consultancy, whose clients include the World Bank, the United Nations, the Inter-American Development Bank, and the European Commission.
- Writing and editing, to daily deadlines, reports on a wide range of issues for clients in the private sector, national governments and international organizations.
- Commissioning and editing political and economic research and analysis from specialist contributors, and senior academics to ensure excellent coverage of contemporary issues.
- Twice daily reporting to the managing editor with analysis of substantive issues and operational reports.

1990-91 *Writer/Editor, EFE News Agency (the Spanish national news agency), Madrid, Spain*

Responsibilities:

- Duty editor with responsibility for managing the work of the English Language Service, including choice of news output; the supervision of writers and their work; the assignment of tasks; desk editing; the monitoring of results; liaison with Spanish language services and senior management; and reporting to the editor-in-chief.
- Latin American Affairs editor of the English Language Service, with responsibility for output on Latin American affairs for the 24-hour news service, as well as related news services to specialist overseas clients.
- Writing, editing, and commissioning news stories.

1987-90 *Managing Editor, Institute for European-Latin American Relations (IRELA), Madrid, Spain*

Responsibilities:

- Research and analysis support to the European Commission and the European Parliament for approximately 30 inter-regional and inter-governmental meetings, workshops, and seminars a year.
- Ensuring that all outputs products were available simultaneously in English and Spanish at multiple locations to strict deadlines, and creating the in-house structures to enable this.

- Team member in group responsible for planning and supervision of research output.
 - Recruitment/supervision of a team of editors and translators.
-

Languages

English (mother tongue)
Spanish (fluent)
French (reasonable)
German (modest)

References

Malcolm Deas
University Fellow
St. Antony's College, Oxford
OX2 6JF
UK

Tel: +44-1865-84736. E-mail: Malcolm.deas@sant.ox.ac.uk

Rick McDonell
Executive Secretary
FATF

Kimberley Prost
Ombudsman
United Nations
New York

Name: Eliot Kennedy
Designation: Assistant Secretary
Agency: APG Secretariat
Email: mail@apgml.org, eliot.kennedy@apgml.org
Telephone: + 61 2 9277 0524
Mobile: + 61 (0)409 015 386

I. Professional Experience

- Joined APG Secretariat in March 2001.
- Current position is “2IC” to Executive Secretary of APG Secretariat.
- Since joining the Secretariat, involved in all aspects of the APG’s work program, including strategic planning and management issues, liaison with FATF and attendance at FATF meetings, coordinating the APG's Mutual Evaluation program and conducting mutual evaluations of APG member countries to test their compliance with the international AML/CFT standards.
- Deputy Registrar, Refugee Review Tribunal (Australia), Sydney from 1993 to 2001
- Held various policy positions in the Australian National Crime Authority, 1985 to 1993.

II. Education

- Bachelor of Arts (Honours), Sydney University, 1983
- Graduate Diploma in Communication Management, 1988
- Advanced Diploma of Management, 2012

III. Nationality

- Australian

• **PROFESSIONAL PROFILE** •

Accomplished professional with proven ability to develop, implement, and execute management programs. Recognized as a trusted advisor and partner with senior management. Proven expertise in anti-money laundering, enterprise risk management, risk assessments, strategic planning, accounting, finance, and credit underwriting solidified by extensive training and certifications.

• **CORE COMPETENCIES** •

- Collaboration
- Visioning
- Managerial Courage
- Business Acumen
- Initiative
- Managing Risk
- Strategic Thinking & Planning
- Data Gathering & Analysis
- Emotional Intelligence

• **RECENT CAREER HIGHLIGHTS** •

- Significant contribution in creating KeyCorp's Enterprise Risk Management Program and Policy.
- Instituted and established program oversight and monitoring of KeyCorp's legal entities in the risk assessment process.
- Designed and executed an innovative employee offsite for the KNB RISC Office that incorporated relationship building, experiential learning and personal development; outcomes leveraged to plan annual employee and partners meeting.
- Developed a 10-week legal summer associate internship program for KeyBank.
- Created a volunteer management framework for NewBridge Cleveland.
- Demonstrated outstanding organizational skills resulting in increased attendance at PRMIA 2012 Global Conference; selected to serve as PRMIA's Speaker Coordinator for the Central and South America Regional Chapters.
- Lead initial succession planning efforts in search of Executive Director for Heights Arts.

• **EDUCATION AND TRAINING** •

- University of Chicago, Graduate School of Business, Chicago, Illinois, MBA, Concentration in Finance and Strategy, May 1998.
- Lakeland College, Sheboygan, Wisconsin, Bachelor of Arts, May 1983
- Global Association of Risk Professionals, International Certificate in Banking Risk and Regulation, 2012
- Weatherhead School of Management, Case Western Reserve University, Executive Leadership Certificates, June 2011:
 - Strategic Thinking
 - Designing Solutions for Innovation and Strategy
 - Operational Excellence
 - Project Management
 - Emotionally Intelligent Leader
 - Executive Management
 - Financial Decision Making
 - Communications and Professional Skills
 - Women in Leadership
- Cleveland Bridge Builders Flagship Leadership Program, 2005 - 2006
- American Bankers Association National Compliance School, April 2006
- American Banker Association Graduate School of Compliance School, April 2005

- WILLIE ANN MADDOX -

• WORK EXPERIENCE •

KeyCorp, Cleveland, OH

Enterprise Risk Management

ERM Risk Assessment Manager

June 2010 - Present

- Lead the oversight, management, and administration of lines of business quarterly risk profile process.
- Manage the production of KeyCorp's ERM risk profile, dashboard and related documents for the Board.
- Develop relationships across various stakeholders groups and partnered to ensure effective collaborations.
- Participate in the creation of the ERM Program and Policy, Framework and Procedures; ongoing contributor.

Key National Banking RISC Office

Regulatory Compliance Manager

December 2005 – June 2010

- Managed oversight of KNB Regulatory Compliance Programs providing day-to-day leadership achieving managed program status.
- Established KNB Clean Desk Program; enhanced program sustainability, achieving 107% of target.
- Streamlined number of line of business AML/BSA procedures that increased business writing efficiency and ensured consistency and sustainability.

Key Corporate and Investment Banking

Compliance Analyst

December 2003 – December 2005

- Managed KNB lines of business compliance and participated in firm-wide committees and initiatives.
- Partnered with stakeholders to maintain applicable procedures and management of AML program.
- Facilitated the development, implementation, and promotion of internal control and security awareness.

Strategic Planning Group

Senior Associate Strategic Planning

April 2001 – December 2003

- Participated in corporate-wide strategic planning efforts and projects.
- Created partnership assessment tool to assess LOB strategic needs and business intelligence requirements.
- Performed industry research and trend analysis to support strategic decision-making.

Key Healthcare Finance

Senior Credit Associate Underwriting

August 2000 – March 2001

- Led credit analysis and assessments of Healthcare Segment credit relationships ranging from \$1-\$200 million.
- Performed due diligence analysis of client's credit and assignment of risk rating.
- Monitored covenant compliance requirements of relationships.

KeyCorp - Corporate Finance Management Associate Program

Investment Banking Rotation – McDonald Healthcare & Technology Group

June 1999 – August 2000

- Performed industry and company research.
- Assisted in the creation of a medical device industry index.
- Performed financial analysis to support structuring of mergers and acquisition transactions.

Credit Rotation –Key Healthcare Finance

- Prepared credit write-ups by identifying, researching, evaluating, and incorporating relevant issues.
- Performed statement spreading and analysis of Healthcare Segment clients.
- Prepared appropriate financial models to assist in evaluating a client financial performance.

- WILLIE ANN MADDOX -

Sales Rotation – Key Real Estate Capital Markets, Fannie Mae

- Created collateral materials for the Brokers/Bankers Corner web site.
- Performed due diligence of the Master Forward Financing Agreement between Fannie Mae and Key.
- Created spreadsheet to perform cost/benefit analysis.

Duchossois Industries, Elmhurst, IL

Privately held \$1.2 billion diversified manufacturer engaged in the transportation, consumer products, and defense industries.

Business Analyst Internship

June 1998 - September 1998

- Managed successful system conversion of \$14 million split-dollar life insurance contracts.
- Analyzed existing portfolio investments and prepared performance reports.
- Researched venture capital indexes to identify benchmarks for investments.

Strong Capital Management, Menomonee Falls, WI

National investment management company with \$40 billion under management.

Customer Service Support Representative

October 1996 - June 1998

- Provided investment market activity and account information to shareholder base of 400,000.
- Processed 75-150 trades daily on accounts.
- Contributed to newly hired representatives training in service and call guide procedures.

Firstar Trust Company, Milwaukee, WI

Subsidiary of Firstar Corporation, a bank holding company with \$74.5 billion in assets and over 1,200 offices in 13 states.

Senior Trust Officer & New Business Development Representative

November 1992 - October 1996

- Established qualified retirement plans as a component of companies sponsored employee benefits.
- Recommended investments for portfolio selection aligned with company objectives.
- Delivered workshops for employees and obtained 90% participation.

Elan Payroll Services, Milwaukee, WI, Subsidiary of Firstar Corporation

Sales Officer and Representative

November 1989 - October 1992

- Recommended and analyzed prospective clients payroll processes for efficiency and effectiveness.
- Reduced client exposure to payroll tax liability.
- Developed sales plans for assigned territory to increase visibility of payroll service products.

Elan Insurance Service, Milwaukee, WI, Subsidiary of Firstar Corporation

Accounting Manager and Officer

December 1986 - October 1989

- Effectively managed \$3 million in assets and prepared \$2 million annual budget.
- Decreased processing time for regional sales representative commission payments by 60%.
- Established and grew department to a four-team member and executed training programs to cross-train staff.

Staff Accountant

November 1985 - December 1986

- Assisted in automating the financial institution division accounting reporting, which increased reporting efficiency 30%.
- Prepared monthly, quarterly, and year-end financial statements and tax returns.
- Established product line reporting for financial analysis.

- WILLIE ANN MADDOX -

• ACHIEVEMENTS •

- 1Key Chairman Achievement Award, 2010
- Best in Class Kick-Off Meeting, KeyBank United Way Campaign, 2009-2010
- Leadership Action Project (LAP) Team Leader, Cleveland Bridge Builders, 2005-2006
- Elsa Pavlik Member of the Year Award, Women's City Club, 2005
- New Member of Year, Women's City Club, 2003

• LICENSES / CERTIFICATIONS •

- C.P.A., Ohio Society of CPAs, Member Since 2000
- CAMS, Association of Certified Anti-Money Laundering Specialists, Member Since 2008
- CGMA, Chartered Global Management Accountant, American Institute of CPAs, Member 2012
- Securities Series 7, 63, FINRA (Inactive)

• PROFESSIONAL AFFILIATIONS •

- Professional Risk Managers' International Association (PRMIA), Speaker Coordinator 2013 - Present
- Case Western Reserve University School of Law, Guest Lecturer 2008 - Present
- Heights Arts Collaborative, Inc., Trustee and Past Treasurer 2008 - Present
- BSAAG SAR & NBFI, ABA MLIG Open Compliance Committees 2008 - Present
- Minority MBA Student Case Competition, KeyBank & Fisher College of Business, Judge 2009 - Present
- Ohio Society of CPAs, International Tax & Accounting Conference Advisory Board 2009 - 2011
- Ursuline College, Arts and Science Department Advisory Board 2007 - 2009
- ABA Regulatory Compliance Conference Advisory Board 2006 - 2008
- Friends of the Cleveland Public Library, Past Trustee and Treasurer 2002 - 2008
- ABA National and Graduate Compliance School Advisory Board 2006 - 2007
- The Women's City Club, Past Board of Director 2003 - 2006

Rick McDonell Career Summary

Qualifications: BA, LLB, Graduate Diploma in Commercial Law (Monash University, Australia).

- Three years as Sub-Dean university hall of residents: overseeing 180 undergraduate and post-graduate students in their academic and non-academic pursuits.
- Two years in private legal practice with a law firm in Australia. Wide variety of legal work including common law, criminal law, litigation, tax law and administrative law.
- Four years as an attorney with a Royal Commission (Special Prosecutor investigation) investigating large scale national and international white collar fraud and associated organized crime. Contributed to a report to government which led to a seminal realignment of Australia's approach to organized crime policies, laws and practices.
- Ten years as a legal adviser and National Coordinator of organised crime task forces for Australia's National Crime Authority (a federal and state specialised organised crime investigation agency). Providing legal advice on investigation powers and policies. Leading many police and multi-agency task forces on a wide variety of criminal investigations at a national and international level, including domestic and international money laundering, large scale commercial fraud, organized crime groups (mafia, Chinese triad and local groups). In this capacity, author of: "Taken to the Cleaners-Money Laundering in Australia" which set out the variety of money laundering methods and cases extant at the time, examined the relevant laws and proposed policy, legal and operational changes to the system in place at the federal and state level.
- Three years as a federal prosecutor with Australia's Director of Public Prosecutions. Wide variety of prosecutions at a federal level. Building briefs of evidence, advocacy in criminal and appeal courts, conducting mutual legal assistance and extradition cases, providing international cooperation including: under treaty, court-to-court and police-to police information and evidence exchange.
- Founder and First Executive Secretary of the Asia Pacific Group on Money Laundering (the Asia Pacific regional group of the FATF). Building the initial momentum with countries in the region, drafting the formal basis for the group, instituting and carrying out a country assessment program for money laundering and terrorist financing.
- Two years as Chief of the UN Global Programme against Money Laundering. Managing policy, legal and technical assistance program delivery to countries in Africa, South America, the Caribbean and south East Asia.
- Executive Secretary of the Financial Action Task Force since 2007.

Curriculum Vitae

Patrick O'Sullivan

**Manager : Financial Intelligence Unit
New Zealand**

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josee.nadeau@fin.gc.ca

PROFESSIONAL PROFILE

A bilingual economist with excellent leadership and interpersonal skills and with extensive experience in the Canadian government advising Ministers and senior executives with respect to numerous public policy and economic issues. These include combating financial crimes, financial sector policy development and regulation, trade negotiations, tax policy development, macroeconomic policies, currency and counterfeiting, Aboriginal economic development and capacity building. Several years of management experience and in representing and negotiating for Canada internationally in various fora, in coordinating numerous federal organisations and in consulting with diverse key stakeholders, nationally, regionally and internationally. With integrity and respect, a dynamic team player, a strategic and analytical thinker and a results-driven executive.

CAREER HIGHLIGHTS

2009 to date

Senior Chief (EX-2), Financial Crimes - International, Financial Sector Policy, Department of Finance Canada

- Lead the Canadian delegation to the Financial Action Task Force (FATF) and to its regional bodies in the Caribbean, South America and the Asia Pacific region, including the coordination of up to twelve departments and agencies. In particular: led the review of the 2012 international standards for anti-money laundering and countering the financing of terrorism and proliferation as well as the development of the new assessment methodology; lead the on-going assessment of FATF countries and high-risk countries' compliance against the FATF standards; and lead the on-going policy development. Support Canada at the G7/8, G20, the United Nations and the Organization of American States with respect to financial crimes and financial integrity.
- Contribute to and lead various Canadian policy and legislative development and initiatives with respect to financial crimes, including preventive measures in the financial sector, targeted financial sanctions, national risk assessment, technical assistance and corporate transparency. Engage with other countries, the private sector, the International Financial Institutions, and other key stakeholders on relevant international and domestic issues.
- Manage 6 staff and oversee a travel budget of about \$150,000 as well as membership and capacity building contributions to relevant international organizations.

2007 to 2009

Director (EX-1), Aboriginal Economic Development, Indian and Northern Affairs Canada

- Provided leadership and coordination for Aboriginal economic development consultations within the Department and the Federal Government, with Aboriginal Governments and organizations, and Provincial and Territorial Governments (e.g., consultations on a new Aboriginal Economic Development Framework). Provided secretariat support to the National Aboriginal Economic Development Board appointed by Order in Council to advise federal Ministers on Aboriginal economic development.
- Led and coordinated strategic planning and performance management for the Economy Strategic Outcome and Logic Model of the Department, including: the Management Reporting

and Results Structure; the Departmental Performance Report; Report on Plans and Priorities; and internal annual planning and quarterly reporting on outcomes and activities.

- Manage a newly created unit of 10 staff with a budget of about \$2.7 million, and oversaw the development of another unit of 15 people, with concurrent management responsibility for 6 months.

2002 to 2007

On Interchange Canada Program from the Federal Government to the Bank of Canada

- As an Advisor to the Strategic Leadership Team, contributed to the management of the Bank of Canada department responsible for the currency function and for operations in financial system and funds management, including 300 employees and a \$90 million budget. For example, coordinated department-wide strategic activity such as: integrated medium-term and annual planning (including financial, human, physical and technological resources) as part of the Bank-wide planning exercise; and work environment and workforce planning using the business excellence framework of the National Quality Institute.
- Led the Bank's comprehensive program of currency counterfeiting situational analysis and interventions, in collaboration with a multidisciplinary team of Bank's currency experts, the Royal Canadian Mounted Police (RCMP) and the Department of Justice.
- As a Senior Regional Representative (Currency, Atlantic Provinces, and based in Halifax from 2002 to 2005), was responsible for currency communication and distribution system in the region. This included operations, research and analysis as well as consultations, representations and partnerships with senior representatives from the financial community, business sector, law enforcement, crown prosecutors and federal departments as well as liaison with the media.
- Managed the office of the Atlantic Provinces and shared leadership of the Bank's 5 regional offices for currency with 20 employees and a budget of a few \$ million.

2000 to 2002

Director (Acting EX-1/EX-1), Economic Analysis and Statistics, Fisheries and Oceans Canada

- Led economic research, analysis and policy development on wide-ranging fisheries and oceans issues, including: a comprehensive review of fishing licence fees; first ever costing of First Nations access to fisheries and the development of a licence buy-back program; economic impact of new species at risk legislation; and leading the Canadian delegation to the Organization for Economic Cooperation and Development (OECD) Committee on Fisheries.
- Responsible for trade policy, statistical analysis and surveys, data management and systems. Managed a division of 20 employees and a budget of a few \$ million.

1999 to 2000

Project Leader (ES-6), Financial Sector Policy, Department of Finance Canada

- Led and coordinated federal-provincial relations to address policy, legislative and regulatory gaps and overlaps in the banking, insurance and securities sectors in Canada. Coordinated international relations and conducted research in the financial sector.

1996 to 1999

Economic Counsellor (ES-5/ES-6), Canadian Delegation to the OECD, France

- Represented Canada at the Economic and Development Review Committee (EDRC) responsible for the OECD country economic studies and peer reviews; was also elected EDRC vice-chair. Monitored various OECD committees overseeing macroeconomic issues as well as taxation,

labour market, financial sector and investment with both a national and international focus, and advised the Canadian government.

1988 to 1996

Analyst-Economist (ES-1 to ES5), Department of Finance Canada

- In the Financial Sector Policy Branch of Finance Canada, participated in the General Agreement of Trade in Services (GATS) negotiations for the financial sector, including with regard to China and Taiwan's accessions to the World Trade Organization (WTO). Supported discussions under the North American Free Trade Agreement (NAFTA) and bilateral trade relations. Undertook consultations with executives from the Canadian financial sector and coordinated Canada's trade position. Developed policies and participated in legislative processes in relation to foreign financial institutions in Canada.
- In the International Trade and Finance Branch, conducted research and analysis of macroeconomic issues in Japan and other Asian countries in support of meetings of the Minister of Finance and senior management for the Group of 7/8, the Asia Pacific Economic Cooperation (APEC), the OECD and the International Financial Institutions. Coordinated Canadian positions with other departments and participated in relevant international meetings.
- In the Tax Policy Branch, participated in the development and design of policy and legislation to replace the federal manufacturers' sales tax with a new value-added tax, the Goods and Services Tax (GST), in particular for the financial sector. Then developed policies for a new tax relationship with First Nations in the context of self-government, including a discussion paper on an innovative tax framework. Also led an economic study in five First Nations communities to assess the potential tax base. Consulted with other federal departments and First Nations Governments and organizations.

EDUCATION

1987 to 1989 : M. Sc. Economics, Université de Montréal, Québec, Canada

1984 to 1987 : B. Sc. Economics, Université de Montréal, Québec, Canada

PROFESSIONAL DEVELOPMENT TRAINING

2009: FATF assessor training for country assessments against the FATF Standards.

2007: Leadership and Engagement of Citizens, Stakeholders and Partners, at Canada's School for Public Service.

2006: Coaching and Communication, at a Bank of Canada workshop for Leaders.

2003 and 2004: Media Spokesperson, offered by Professional Communication Firms.

2001: Coaching for Breakthroughs and Commitment, at the Canadian Center for Management Development.

LANGUAGE AND SECURITY

Fully fluent in French and English (Second Language Proficiency at EEE (i.e., Exempt) as assessed by the Federal Government); Top Secret security clearance.

REFERENCES

Available on request.

Name: Patrick John O'Sullivan

Date of Birth: 4 June 1951

Nationality: New Zealand

Education: Masters Degree: Master of Transnational Crime Prevention
University of Wollongong, Australia.

Profile:

- 40 years of law enforcement and intelligence experience including 8 years as Officer-in-Charge/Manager of a Financial Intelligence Unit.
- 11 years in the international arena.
- An internationally recognized specialist in the establishment, operation and management of Financial Intelligence Units including FIU IT.
- Extensive experience of financial analysis, financial investigation, general criminal investigation and asset forfeiture and recovery.
- Highly experienced designer and deliverer of training in all these areas.
- Extensive experience of legislative drafting and drafting of implementing regulations and guidelines particularly in the area of anti-money laundering and countering the financing of terrorism (AML/CFT).
- Extensive experience of negotiating with and advising national governments on the implementation of AML/CFT legislative and enforcement regimes, the establishment and management of Financial Intelligence Units and the regulation of financial and non financial institutions and businesses in the area of AML/CFT.
- Extensive experience of advising private sector institutions on the implementation of AML/CFT legislation, regulations, guidelines and the requirements of various international standards and norms in AML/CFT.
- 17 years experience as a delegate to international organisations including the Egmont Group, The Financial Action Task Force (FATF), FATF Style Regional Bodies (FSRBs), Europol and Interpol.
- Intimate knowledge of and a strong advocate of the implementation and enforcement of UN Conventions, resolutions and other international standards in the areas of drugs, organized crime, anti money laundering and countering the financing of terrorism.

Current: Manager New Zealand Financial Intelligence Unit

employment:

The New Zealand Financial Intelligence Unit (FIU) is a semi autonomous government agency hosted and resourced by the New Zealand Police Department.

It currently has 21 staff principally made up of civilian personnel in the roles of Intelligence Analysts at various levels and Intelligence Support Officers and Intelligence Support Assistants. A small management team is comprised of The Manager, Operations Supervisor, Training and Compliance Manager, IT Systems Manager and Research and Policy Officer.

The FIU provides financial intelligence relating to suspicious transactions, money laundering, the financing of terrorism and other serious offences. Its services are a response to the functions and powers set out in the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 (AML/CFT Act). In this way the FIU helps the New Zealand Government fulfil its obligations to the Financial Action Task Force, the Government's organised crime strategy and the prevention and detection of serious crime.

The FIU collects and collates information provided by external parties and reporting entities, especially banks and other financial institutions. After the required analysis, intelligence products are sent to other investigative and intelligence units within Police, sector supervisors, domestic partner agencies and to relevant international agencies.

The Anti-Money Laundering and Countering the Financing of Terrorism Act 2009 (AML/CFT Act) comes fully into force on 30 June 2013. This places new obligations and extends the coverage of previous legislation and it will greatly increase the number of reports sent to the FIU.

In February 2012 I was employed by the New Zealand Government to help prepare the FIU, Sector Supervisors and reporting entities for the main implementation of the AML/CFT Act. To that end I am employing new staff in key roles, reassigning existing staff, have acquired and am in the process of implementing a new IT solution, am in the process of reorganising the operational structure of the FIU, implementing an entirely new internal training regime and supervising the preparation and publishing of best practice guidelines and reporting guidelines for reporting entities. I am also assisting New Zealand Police in the design and delivery of an anti-money laundering course for investigators which will be added to the curriculum of the Royal New Zealand Police College in 2013.

**Former
Employment:**

I am a member of the New Zealand AML/CFT National Coordination Committee which is comprised of various government agencies and is charged with coordinating all AML/CFT activities across the government sector and with overseeing all policy matters and legal drafting and implementation issues related to AML/CFT.

2008 - 2012 - Chief, Expert Services Unit and Senior Advisor – Intelligence

and Law Enforcement Systems – Information Technology Service – United Nations Office on Drugs and Crime, Vienna, Austria.

2006 – 2008 – Law Enforcement Advisor – Global Programme against Money Laundering – United Nations Office on Drugs and Crime.

2001 – 2006 – Independent Consultant specializing in financial crime and Financial Intelligence Units. Worked as a consultant to the Legal Department of the International Monetary Fund, The Asia Development Bank, The World Bank, Deloitte Forensic, Asia/Pacific, ITC Australia and Control Risks Group, Philippines.

1969 – 1978, 1982 - 2001. New Zealand Police. 25 years in intelligence and criminal investigation. Coordinator, Money Laundering with the National Proceeds of Crime Bureau 1994 - 96 and Officer-in-Charge of New Zealand Police Financial Intelligence Unit 1996 – 2001 at rank of Detective Senior Sergeant.

Countries of work experience:

New Zealand, The Philippines, Indonesia, United States, Cook Islands, Samoa, Vanuatu, Fiji, Tonga, Niue, Mongolia, Singapore, Thailand, Malaysia, Palau, The Federated States of Micronesia, Nigeria, Zambia, Namibia, Kosovo, South Africa, Tanzania, Ethiopia, Kenya, The Maldives, The Netherlands, Montenegro, Azerbaijan, Finland and Denmark.

Relevant work experience

Expert advisor to the Information Technology Service of the United Nations Office on Drugs and Crime, Vienna. Provision of specialised advice in the development and deployment of software applications for financial intelligence units, law enforcement agencies, anti-corruption agencies, regulatory and intelligence agencies. Representative at various international and regional organisations such as the Egmont Group and FSRBs.

Law Enforcement Advisor to the United Nations Office on Drugs and Crime Global Programme against Money Laundering. Delivery of technical assistance and training to UN Member States in the area of financial analysis, financial investigation, establishment of Financial Intelligence Units and specialised investigative agencies. Development of training packages in the areas of financial analysis, financial investigation and FIU operations and management. Focal point for relevant International Organisations such as the International Monetary Fund, The World Bank, Egmont Group, FSRBs, Interpol, Europol, FATF etc.

Independent Consultant specializing in financial crime and Financial Intelligence Units. Worked as a consultant to the Legal Department of the International Monetary Fund, The Asia Development Bank, The World Bank, Deloitte Forensic, Asia/Pacific, ITC Australia and Control Risks

Group, Philippines with principal focus being the delivery of technical assistance to Financial Intelligence Units particularly in the developing world.

Development of New Zealand's Financial Intelligence Unit. Position Held: Officer-in-Charge. Duties: Planned, facilitated and implemented the formation of New Zealand's Financial Intelligence Unit involving establishment of an operational unit, IT support and financial intelligence/analysis methods. Researched similar units operating world-wide and developed the operational systems and procedures. Assisted with drafting of New Zealand's Financial Transactions Reporting Act 1996. Compiled a set of money laundering guidelines for financial institutions including banking, insurance, retail investment and wholesale banking industries and casinos. Completed draft guidelines for the legal profession. Duties also included managerial, administrative, public relations and human resources functions.

Management of staff encompassing supervision, training and evaluation.

Development of partnerships at the wider law enforcement level with other government agencies and departments involving training and education, information sharing and mutually beneficial interaction.

Provision of a financial intelligence support role to investigations particularly those concerned with money laundering offences and asset forfeiture actions. Liaison and contact with international organisations and enforcement agencies to facilitate co-operation and encourage mutual cooperation and assistance in development of financial intelligence and investigations

Member of New Zealand delegation to FATF, APG and Egmont Group 1996 – 2001.

FATF NCCT Asia Pacific Regional Review Group. Position held: Principal contact and Team Leader – Cook Islands. Duties: Collated and analysed on and offshore banking and financial services legislation, practices and regulation in the jurisdiction. Facilitated the establishment of a New Zealand Overseas Development Agency (NZODA) funded project to provide technical assistance to the Cook Islands Money Laundering Authority in establishing a Financial Intelligence Unit in the Cook Islands.

Significant achievements:

In 2008 the establishment and management of UNODC project GLOT29 – (Intelligence and Law Enforcement Systems) to design, develop, deploy and support software applications for intelligence and law enforcement agencies worldwide including Financial Intelligence Units. Two applications in particular, goAML and goCASE, are now recognised as industry leaders and standard setters in the areas of financial intelligence and case

management.

ADB TA Project – The Philippines

Member of Control Risks Group (Philippines) international consultant team contracted to ADB to establish an anti-money laundering legislative and institutional regime in the Philippines and to assist the Philippines in satisfying FATF requirements for removal from the FATF NCCT list.

This project included the drafting and passage of anti-money laundering laws and implementing rules and regulations, the establishment of a financial intelligence unit with full IT capacity, the establishment of money laundering investigative capacity within Philippines law enforcement agencies and the design and delivery of training for financial, legal and law enforcement agencies on the anti-money laundering regime.

Involvement in this project included:

- Assisting with the assessment of drafted laws, regulations and implementing rules and providing advice on required amendments to meet current international standards.
- Assisting with the drafting of guidelines to financial institutions to implement anti-money laundering laws and regulations.
- Assisting with the establishment of the Anti-money Laundering Council Secretariat (AMLC), which acts as the FIU, including the preparation of an organisation structure, standard operating procedures, position and person specifications, operational work methods and procedures, IT requirements and training needs.
- Assessment of institutional capacity of law enforcement agencies.
- Assessment of training needs of regulatory and law enforcement agencies.
- Design and delivery of training to regulatory and law enforcement agencies.

ADB TA Project – Indonesia

Member of Deloitte Touche (Australia) international consultant team contracted to ADB to establish an anti-money laundering legislative and institutional regime in Indonesia and to assist Indonesia in satisfying FATF

requirements for removal from the FATF NCCT list.

Project included the drafting and passage of anti-money laundering laws, decrees, regulations and guidelines, the establishment of a financial intelligence unit with full IT capacity (PPATK), the establishment of money laundering investigative capacity within Indonesian law enforcement agencies and the design and delivery of training for financial, legal and law enforcement agencies on the anti-money laundering regime.

Involvement in this project included:

- Implementation of anti-money laundering legislation;
- Preparing draft regulations for the anti-money laundering law;
- Assisting concerned agencies in developing a comprehensive program, strategy, and work plan based on the FATF 40 + 9 Recommendations;
- Identifying institutional reforms needed to comply with FATF requirements and other international initiatives;
- Implementation of anti-money laundering legislation;
- Assisting in the establishment of the PPATK. Assisting in elaborating the roles and functions of supporting institutions and interactions with other regulatory and law enforcement agencies in Indonesia;
- Providing capacity building and training, and necessary budget allocations to facilitate the prompt commencement of operations;
- Preparing a detailed training needs assessment and program for the staff of key institutions responsible for implementing the anti-money laundering regime;
- Developing appropriate governance structures for PPATK and other relevant institutions;
- Developing a program and conducting capacity-building training seminars for staff of key government institutions;
- Developing guidance notes for financial institutions in the reporting of suspicious transactions;

- Identifying and developing coordination mechanisms and procedures for mutual assistance programs;
- Developing an awareness program to educate regulated entities, the private sector, and the public on money laundering as a crime; the new anti-money laundering law and regulations; and their impact;
- Considering and designing plans within realistic timeframes that could be achievable and acceptable to the Government, ADB and APG;
- Recommending further TA needed to sustain efforts and to improve implementation capabilities and compliance, and providing a plan and timetable for such assistance.

**Employment
Record**

2012 - Present

Manager, New Zealand Financial Intelligence Unit

2008 - 2012

Chief, Expert Services Unit and Senior Advisor to the Information Technology Service of the United Nations Office on Drugs and Crime, Vienna, Austria

2006 - 2008

Law Enforcement Advisor, the United Nations Office on Drugs and Crime Global Programme against Money Laundering

2001 - 2006

Consultant to Asia Development Bank (ADB) through Control Risks Group (Philippines);

Consultant to the ADB through Deloitte Touche, Asia/Pacific;

Consultant to the ADB through ITC, Australia;

Consultant to Legal Department, International Monetary Fund, Washington DC;

Consultant in IMF/APG/Forum Islands Secretariat project to strengthen anti-money laundering and financing of terrorism legislative regimes in Pacific Islands Forum member countries and to establish Financial Intelligence Units in each country. Participating countries included Fiji,

Samoa, Vanuatu, the Cook Islands, Niue, Tonga, Palau and the Federated States of Micronesia. Project also included studying the feasibility of establishing a regional support entity for the Financial Intelligence Units in the participating countries;

Consultant to the World Bank – Financial Integrity Unit.

1996 - 2001

Employer: New Zealand Police Department

Position held Detective Senior Sergeant, Officer-in-Charge of the Financial Intelligence Unit, Police National Headquarters (PNHQ).

1995 - 1996

Employer: New Zealand Police Department

Position held Detective Senior Sergeant, Coordinator Money Laundering – National Proceeds of Crime Bureau, PNHQ.

1993 - 1996

Employer: New Zealand Police Department

Position held Detective Sergeant / Analyst - Threat Assessment Unit, PHNQ.

1990 - 1993

Employer: New Zealand Police Department

Position held Detective Sergeant, Officer-In-Charge/Investigations/Intelligence, Interpol PNHQ.

1982 - 1990

Employer: New Zealand Police Department

Positions held Detective/ UB Sergeant/Detective Sergeant/Prosecutions Officer/ Officer-in-Charge (Fraud)/ Officer-in-Charge (Sexual Abuse Team) – Wellington, Lower Hutt, Masterton. Officer-in-Charge CIB Upper Hutt (Relieving).

To:1969 - 1978

Employer: New Zealand Police Department

Positions held Cadet/Constable / Detective Constable/ Detective

Referees:

Mr Rick McDonell
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Financial Action Task Force
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CURRICULUM VITAE

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CAREER PROFILE

I have more than thirty years experience working for the Canadian Government and NATO. My NATO career has been focused on developing partnership policies and mechanisms to strengthen peace and security. This includes working closely with nations, international organisations, in particular - EU, IOM, OECD, OSCE, UN and WB, as well as civil society. In practical terms these efforts have resulted in the establishment of ongoing NATO programmes for the destruction small arms and light weapons, munitions and land mines. More recently I have taken on responsibility for the design and conduct of the NATO Building Integrity Programme to reduce the risk of corruption and promote good practice in the defence and security sector. This includes working closely with nations to developed tailored action plans to strengthen governance the security sector as well as the development of education and training products.

Key areas of expertise: Strong analytical skills, ability to manage complex tasks and build effective partnerships with governments, other international organizations, business and civil society; Leading new initiatives and embedding them into policy and procedures, providing advice on future areas of cooperation and charting a way forward in a complex environment. Team leader, able to provide sound advice on implementation of priorities and monitoring of the results.

In addition to assignments with the Public Service of Canada, my NATO career has led me to Norfolk, Kyiv and Brussels. I have a reputation for team building, excellent networking with a wide civil-military community, a results-oriented manager with strong strategic skills, ability to work in a demanding multi-cultural environment, identifying solutions to overcome obstacles, and a track record of success.

In 2002, I was awarded the Queen Elizabeth II Golden Jubilee Medal for outstanding public service.

EDUCATION

Graduate Diploma in Conflict Resolution, University of Lancaster, UK, 1980
Pre-Masters Political Science, Carleton University, Ontario, Canada, 1979
B.A. Major in Political Science, Collège Universitaire de Saint Boniface, Manitoba, Canada, 1978
Pre-BA, History, Université Sainte-Anne, Nova Scotia, Canada, 1975

CAREER PROFILE

Present	Senior Officer & Head Building Integrity Programme, Political Affairs and Security Policy, NATO Headquarters, Brussels
2003-2008	Head of Section, Partnership for Peace and Cooperation, NATO Headquarters, Brussels
2000-2003	Advisor on Ukraine, Defence Planning and Cooperation, NATO Headquarters, Brussels
1999-2000	Head, NATO Liaison Office Kyiv, Ukraine
1998-1999	Staff Officer, Defense Planning and Cooperation NATO Headquarters, Brussels
1990-1998	General Policy Officer, Civil Emergency Planning Directorate, NATO Headquarters Brussels
1989-1990	Senior Administrator Operational Analysis Division Supreme Allied Command Atlantic, Virginia, USA
1988-1989	Senior Liaison Officer Search and Rescue, Canadian Coast Guard, Ottawa
1984-1987	Emergency Planning Officer Transport Canada, Ottawa
1982-1984	Policy Analyst, Transport Canada, Ottawa
1981-1982	Information Officer Energy, Mines & Resources, Halifax

Curriculum Vitae

Name: Nikos Passas
Address: Northeastern University, School of Criminology and Criminal Justice, 400 Churchill Hall, Boston, MA 02115-5000.
Telephone: (617) 373 4309 Fax: (1-617) 373-8998
Home: (508) 359-8179 EMail: n.passas@neu.edu
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Web: http://www.cj.neu.edu/faculty_and_staff/research_faculty/nikos_passas/

1. EDUCATIONAL BACKGROUND and QUALIFICATIONS

1985-1988: University of Edinburgh, Law Faculty, Centre for Criminology and Social and Philosophical Study of Law; Ph.D. in Sociology of Deviance.
1982-1983: Articled Clerk; qualified to the Bar (Athens, Greece) in June 1983.
1981-1982: University of Paris - Paris II; Master's in Criminology and Penal Science; D.E.A. (Diplôme d' Etudes Approfondies).
1976-1981: University of Athens, Law Faculty; LL.B.

2. EMPLOYMENT

2003- Professor, Northeastern University, School of Criminology and Criminal Justice
2013 Visiting Professor, Qatar University Law College
2013- Faculty, International Anti-Corruption Academy, Vienna, Austria
2012- Adjunct Law Professor, Case Western Reserve University, Financial Integrity Program.
2009-2010 Visiting Fellow, Max Planck Institute for Foreign and International Criminal Law, Freiburg, Germany.
2003 Visiting Professor, Northeastern University, College of Criminal Justice.
1995-2002 Associate Professor, Temple University.
1995-1996 Visiting Professor, University of Wales College of Cardiff, School of Social and Administrative Studies.
1989-95 Assistant Professor, Temple University.
1989: Research Associate, Law Faculty of University College London.
1989: Post-Doctoral Fellow, University of Edinburgh, Centre for Criminology (C.C.S.P.S.L.).

1984-85: Council of Europe Visiting Fellow, University of Edinburgh, Centre for Criminology (C.C.S.P.S.L.).

3. PUBLICATIONS

Books

- 2013 Financial Transnational Crimes. London: Ashgate.
- 2010 Essays in Honor of Prof. C.D. Spinellis: Interdisciplinary Criminological Pathways (co-edited with N. Courakis et al.). Athens: Sakkoulas.
- 2008 The Evolving Challenge of Identity-Related Crimes: Addressing Fraud and the Criminal Misuse and Falsification of Identity (with Christopher Ram and Demosthenis Chryssikos). Milan: International Scientific and Professional Advisory Council of the United Nations Crime Prevention and Criminal Justice Programme (ISPAC).
- 2007 The United Nations Convention against Corruption as a Way of Life. (with Dimitri Vlassis). Milan: International Scientific and Professional Advisory Council of the United Nations Crime Prevention and Criminal Justice Programme (ISPAC).
- 2006 Legislative Guide for the Implementation of the United Nations Convention Against Corruption. Vienna: UN Office of Drugs and Crime. Available at: http://www.unodc.org/pdf/corruption/CoC_LegislativeGuide.pdf
- 2006 A Comparative Analysis of National Anti-Corruption Legislation and Programmes. (New York: UN Development Programme).
- 2005 Migrant Labor Remittances in South Asia (with S. Maimbo, R. Adams, R. Aggarwal). Washington, DC: The World Bank.
- 2005 Regulating Hawala and other Informal Funds Transfer Systems. (Ed.) Washington, DC: IMF.
- 2005 Informal Value Transfer Systems and Criminal Activities. Cahier 2005-1. Research and Documentation Centre. The Hague: Ministry of Justice, The Netherlands.
- 2004 It's Legal, but It Ain't Right: Harmful Social Consequences of Legal Industries (Ed. with Neva Goodwin). Ann Arbor: University of Michigan Press.
- 2003 International Crimes (Ed.). Aldershot: Dartmouth.
- 2003 Legislative Guide for the Implementation of the United Nations Convention Against Transnational Organized Crime. Vienna: UN Office of Drugs and Crime;

and Vancouver: International Centre for Criminal Law Reform and Criminal Justice Policy.

- 2002 Upperworld and Underworld in Cross-Border Crime (Ed. with Petrus van Dyune and Klaus von Lampe). Nijmegen: Wolf Legal Publishers.
- 1999 Informal Value Transfer Systems and Criminal Organizations: A Study into So-called Underground Banking Networks. The Hague: Ministry of Justice, The Netherlands.
- 1999 Transnational Crime (Ed.); Aldershot: Dartmouth.
- 1997 The Future of Anomie Theory (Ed. with Robert Agnew); Northeastern University Press.
- 1995 Organized Crime (Ed.); Aldershot: Dartmouth

Articles

- Forthcoming "Anti-Corruption Measures and their Effects on Procurement Processes in Four Countries (with Jorge Claro)
- Forthcoming "Unexplained Wealth Orders" (with D. DeVille, P. Kirkbride and J. White).
- Forthcoming "Global Anomie Theory and Terrorism" (with Anamika Twyman-Ghoshal)
- Forthcoming "Counter-terrorism, Remittances Regulation and Development"
- Forthcoming "Development and Anti-Corruption Agendas Aligned: the Contribution of the UNCAC".
- Forthcoming "Re-aligning the Legal and the Legitimate" in The International Spectator.
- In press "Transparency and Compliance Programs of Multinational Companies in Latin America" (with Matthias Kleinhempel) Organizational and Management Journal
- 2013 "Introduction to Transnational Financial Crime" In N. Passas (Ed.) Transnational Financial Crime. London: Ashgate
- 2013 "Public Sector Procurement and the effects of the anti-corruption agenda" (with J. Claro). In Red Interamericana de Compras Gubernamentales (RICG) Quarterly Newsletter.
- 2013 "Private-Public Sector Interactions: The Influence of Anti-Corruption on Procurement Regulation. Macao Anti-Corruption Commission.
- 2012 "Financial Controls and Counter-Proliferation of WMD". In Case Western Reserve Journal of International Law.

- 2012 “Development and Legitimacy of Chinese Informal Finance” (with S. Hsu and J. Li). In The Pacific Review.
- 2012 “Maritime Piracy and the UN conventions against transnational organized crime, corruption and terrorism finance” (with Anamika Twyman-Ghoshal) In R. C. Beckman & J. A. Roach (Eds.), Piracy and International Maritime Crimes in ASEAN: Prospects for Co-operation (pp. 62-94). Northampton, MA: Edward Elgar..
- 2011 “Terrorist Finance, Informal Markets, Trade and Regulation” In C. Lum and L. W. Kennedy (Eds.), Evidence-Based Counterterrorism Policy. New York, NY: Springer.
- 2011 “Lessons from the Countering of Terrorist Finance: The Need for Trade Transparency”. In A. Chalkia (Ed.) The Contemporary Criminality, its Confrontation and the Science of Criminology pp. 1497-1511. Athens: Sakkoulas.
- 2010 “Anomie and White-Collar Crime”. In F.T. Cullen and P. Willcox (Eds) Encyclopedia of Criminological Theory.
- 2010 “Functionalism, Functional Analysis And Functional Explanation”. Essays in Honour of Prof. C.D. Spinellis: Interdisciplinary Criminological Pathways (Ed. N. Kourakis et al.). Pp. 305-340. Athens: Sakkoulas.
- 2010 “Anti-corruption Agencies and the Need for Strategic Approaches”. In Crime, Law and Social Change, 53(1).
- 2010 “Overview Of Crimes Involving Art and Antiquities”. (with Blythe Bowman Proulx). In S. Manacorda (Ed) Crime in the Arts and Antiquities World. New York: Springer.
- 2010 Understanding Terrorism Financing. Paper published in Appendix of the Major Commission of Inquiry into the Investigation of the Bombing of Air India Flight 182 – available at http://epe.lac-bac.gc.ca/100/206/301/pco-bcp/commissions/air_india/2010-07-23/www.majorcomm.ca/en/reports/finalreport/researchstudies/volume2/default.htm
- 2009 “Corruption, development and transnational crime: Challenges and Solutions” in book edited by Austrian Ministry of Internal Affairs – 2nd International Anti-Corruption Seminar.
- 2009 “The Financing of Terrorism: National and International Laws” in Revue Internationale de Droit Penal. 79: 326-43. Available in English, French and Spanish. Translated also in Turkish and published in Turkish National Report to the World Congress of the International Association of Penal Law.
- 2009 “Combatting Terrorist Financing” in Case Western Reserve Journal of International Law, 41(1).
- 2009 “Background to 3rd World Summit” (with D. Vlassis) in The Third World Summit of Prosecutors General, Attorneys General and Chief Prosecutors, Attorney General’s Office, Bucharest, Romania.

- 2008 “Formalizing The Informal While Neglecting Trade Transparency: Issues in the Regulation of Hawala and Financial Controls against Terrorism”. In From Early Warning to Early Action?, (407-413). Brussels, Commission of the European Union.
- 2008 “Dirty Money: Tracing the Misuse of Hawala Networks” in Jane’s Intelligence Review. Feb.
- 2008 “UNCAC, Technical Assistance and Development Efforts. In M. Pieth (Ed.), Recovering Stolen Assets (pp. 281-295). Bern: Peter Lang.
- 2008 “Identity-related Crimes: a Review of Research and Suggested Typologies”. In D. Chryssikos, N. Passas and C. Ram (Eds) The Evolving Challenge of Identity-Related Crimes: Addressing Fraud and the Criminal Misuse and Falsification of Identity. Milan: International Scientific and Professional Advisory Council of the United Nations Crime Prevention and Criminal Justice Programme (ISPAC).
- 2007 Introduction. In N. Passas and D. Vlassis (eds) Countering Corruption in Every Day Life: A Strategic Approach to Global and National Governance. Milan: ISPAC
- 2007 The UN Convention against Corruption: Opportunities and Risks for Global Governance. In Passas and Vlassis (eds) Countering Corruption in Every Day Life: A Strategic Approach to Global and National Governance. Milan: ISPAC
- 2007 Conclusions and Recommendations of the ISPAC conference on the UN Convention against Corruption as a Way of Life (with Eduardo Vettere). In Passas and Vlassis (eds) Countering Corruption in Every Day Life: A Strategic Approach to Global and National Governance. Milan: ISPAC
- 2007 “Informal Funds Transfer Systems and Terrorist Finance” (with S. Maimbo) in T. Bierstecker and S. Eckert (eds) Financing Global Terrorism. London: Routledge.
- 2007 “Measures and Mechanisms to Strengthen International Cooperation among Prosecution Services” (with Yvon Dandurand and Gherardo Colombo) in Crime, Law and Social Change.
- 2007 Terrorism Financing Mechanisms and Policy Dilemmas. In Harold Trinkunas and Jeanne Giraldo (Eds) The Political Economy of Terrorism Financing and State Responses: A Comparative Perspective. Stanford: Stanford University Press.
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Reports

- 2013 Report on the effects of the Anti-corruption agenda on Procurement practices. Report to the Inter-American Development Bank (IDB) and the International Development Research Center of Canada (IDRC).
- 2010 Financial Vigilance and Sanctions against Proliferation of WMD. Report to the European Union Commission.
- 2010 Terrorism Finance Indicators. Report to the UN Security Council Monitoring Team (on al Qaeda and the Taliban sanctions).
- 2010 Assessment Method of Anti-Corruption Initiatives and Plans. Report to UN Office of Drugs and Crime and the Office of Comptroller General of Brazil.
- 2009 and 2008 Legal Library of Anti-corruption Laws and Cases, Reports to the UN Office of Drugs and Crime and to the International Association of Anti-corruption Authorities (IAACA).
- 2008 Understanding Terrorism Financing. Report prepared for the Major Commission of Inquiry into the Investigation of the Bombing of Air India Flight 182
- 2007 Procurement Fraud and Corruption. Report to the Institute for Fraud Prevention.
- 2006 Best Practices in Corruption Asset Recovery. Interim Report to NORAD
- 2006 Terrorist Finance, the Nexus with Transnational Organized Crime and the Trade in Diamonds, Gold and Tobacco. Report to the National Institute of Justice (NIJ).
- 2004 The Trade in Gold: Case Studies of Financial Misconduct. Report to FinCEN, US Treasury Department.

- 2004 Informal Value Transfer Systems and Criminal Activities in Holland, USA, and India. Report to WODC, Ministry of Justice of The Netherlands, The Hague.
- 2004 The Trade in Diamonds: Vulnerabilities for Financial Crime and Terrorist Finance. Report to FinCEN, US Treasury Department.
- 2003 Third-Party Checks, Indicators of Abuse and Money Laundering in the Middle East Expert Report to US District Court for the District of New Hampshire.
- 2003 Informal Value Transfer Systems, Money Laundering and Terrorism. Report to the National Institute of Justice (NIJ).
- 2002 Report to Congress in Accordance with Section 359 of the USA Patriot Act (with FinCEN's Non-traditional Methodologies Section).
- 2002 The Mechanics and Settlement Process in Hawala Networks. Report for the (UK) Crime Prosecution Service.
- 2002 Informal Value Transfer Systems, Money Laundering and Terrorism. Interim report to Financial Crimes Enforcement Network (FINCEN) and the National Institute of Justice (NIJ).
- 2002 US Law Enforcement Difficulties With Traditional IVTS: Focus on Hawala. Report to Financial Crimes Enforcement Network (FINCEN).
- 2002 Hawala Banking and Indications of Abuse. Report to the (UK) National Crime Squad.
- 2001 Illegal Transfer of Funds and Repatriation of Assets to Victim Countries to the Executive Director of the United Nations Office for Drug Control and Crime Prevention.
- 1999 Underground Banking Systems and Criminal Organizations to the Ministry of Justice of The Netherlands, The Hague.
- 1998 Handbook of Corruption (part 1 of 3) to the United Nations Centre for International Crime Prevention, Vienna.
- 1997 Economic, Transnational and Illegal Aspects of NRM (New Religious Movements) Activities, to the German Parliament (Bundestag), Enquête Kommission "Sekten und Psychogruppen", Bonn.
- 1997 Regional Initiatives Against International Corruption, to the United Nations Crime Prevention and Criminal Justice Program, Vienna.
- 1995 Report on Eurofraud: Greece, to European Commission/European Documentation and Research Network on Cross-Border Crime, The Hague (with C.D.Spinellis and D.D.Spinellis).
- 1990/1 Frauds Affecting the Budget of the European Communities Budget, interim and final reports to the Commission of the European Communities (Anti-Fraud Unit: UCLAF).

- 1989 Criminal Courts, Sentencing Powers and Trends in Sentencing in Scotland: 1945-1986, report to the Scottish Home and Health Department.
- 1985: Merton's Anomie Theory Revisited, report to the Council of Europe.
- 1985: Trends in Probation in Scotland, interim report to the Scottish Home and Health Department.

Conference Papers

Presented papers, inter alia, at the Stockholm Criminology Prize, International Peace Academy, 11th and 12th United Nations Congress on Crime and Crime Prevention (Thailand and Brazil), 2nd World Summit of Prosecutors and Attorneys General (Qatar), Global Congress of the International Association of Penal Law (Turkey), Global Forum VI (Qatar), APEC Symposium on Alternative Remittance Systems (Japan), DFID/World Bank International Conference on Migrant Remittances: Development Impact, Opportunities for the Financial Sector and Future Prospects (England), Inter-American Development Bank International Forum on Remittances (Washington, DC), UNICRI conference on the UN Convention against Corruption (Italy), UN ISPAC Conferences on “Responding to Transnational Crime”, “Identity Crimes” and “Breathing Life into the UN Convention against Corruption” (Italy), the U.S. National Press Club, the 8th International Anti-Corruption Conference, the 4th Inter-American Tele-Conference (Respondacon) on Fraud and Corruption in Government (Peru), World Bank conference on Illicit Flows, three World Congresses of Sociology, the Oñati International Institute of the Sociology of Law (Spain), the National Strategy Information Center, and annual meetings of the American Sociological Association, the American Society of Criminology, the Law and Society Association, the European Society of Criminology, the British Sociological Association, the (US) Eastern Sociological Society, the Society for the Study of Social Problems, the Academy of Criminal Justice Sciences, the 10th International Congress of Criminology, the British Criminology Conferences, the 13th Cambridge Symposium on Economic Crime, the Liverpool bi-annual conferences on Business Crime and Corruption, and Bentley College conferences on Business Ethics.

Scholarly Seminars

Invited to give seminars and lectures at the Tsinghua Law School of Beijing, Chongqing University of Post and Telecommunications, Southwest University of Political Science and Law (China), State University of Rio de Janeiro Law School, University of Campinas (Brazil), University of Qatar School of Law (Qatar), Free University of Brussels (Belgium), Free University of Amsterdam, University of Rotterdam, University of Maastricht, University of Leiden, the Transnational Institute (The Netherlands), Stockholm University (Sweden), University of Oslo (Norway), United Nations Interregional Crime and Justice Research Institute, University of Trento, Catholic University of Milan Sacro Cuore, University of Rome III (Italy), Charles University (Czech Republic), University of Edinburgh (Scotland), Cambridge University, Hull University, Oxford University, Sussex University (England), University of Lille (France), Cardiff University, University of Swansea (Wales), University of Granada Law School, Onati Institute (Spain), Max Planck Institute for Foreign and International Criminal Law, Freiburg, University of Würzburg Law School (Germany), Graduate Institute of International Studies (IUHEI), Geneva (Switzerland), Panteion University, University of Athens Law School (Greece), University of West Indies (Trinidad and Tobago), Austral University (Argentina), American University Law School, Harvard University (Kennedy School of Government), Brown University (Watson Institute), Boston University Law School, University of Texas – Austin (LBJ School of Public Affairs), Hampshire College, Kent State University, University of Oregon,

Northern Arizona University, Wharton School of Business (University of Pennsylvania), Detroit University Mercy Law School. Pennsylvania State University, Rutgers University, Tufts University, Villanova University Law School, University of Pittsburgh, University of Maryland, Case Western Reserve School of Law, University of Toledo (Ohio), University of Delaware, Naval Postgraduate School (Monterey, CA), RAND Corporation (Washington, DC).

Professional Seminars

A series of presentations on money laundering, corruption, sanctions, informal value transfer systems, hawala, funding of terrorism, bank fraud and other transnational crimes to United Nations Canada Mission., New York; seminar on UN Security Council sanctions United Nations General Assembly, New York.

United Nations Office of Drugs and Crime High-Level Seminars on the UN Convention against Corruption in Sofia, Bulgaria; Cairo, Egypt; Pretoria, S. Africa.

United Nations Development Programme, New York.

International Association of Anti-Corruption Authorities (IAACA) seminar on corruption, Beijing, Chingqong and Shanghai, China.

Giessbach III International Seminar on Countering Terrorist Financing, Lucerne, Switzerland

Austrian government International Summer School of Anti-corruption, Vienna, Austria.

Caribbean FATF and GAFI SUD, Seminar on trade-based financial misconduct, Guatemala City, Guatemala.

IMF and Arab Monetary Fund, Abu Dhabi, UAE

International Association of Anti-Corruption Authorities (IAACA), Chongqing and Shanghai, China, and Marrakech, Morocco.

International Fund for Agricultural Development and Inter-American Development Bank meetings on the regulation of remittances

Commission of the European Union, Brussels, Belgium

SOCA training of expert witnesses, Cambridge, UK

Bank of Greece, Athens, Greece.

Swiss Federal Department of Foreign Affairs, Public-Private Cooperation in Combating the Financing of Terrorism, Zurich, Switzerland.

Republic of Ireland Department of Justice, Equality and Law Reform (DJELR) -

Senior Executive Programs in Justice Policy, Boston.

US Department of Defense seminar on the Underground Economies in Arab and Muslim Societies, Baltimore, DE.

FDIC and Dept. of Justice, Miami, FL.

FBI Financial Crimes Intelligence Unit, Washington, DC.

FBI/International Law Enforcement Academy, Budapest, Hungary.

FinCEN (Financial Crimes Enforcement Network) – various meetings and places,

Pacific Rim Int'l Conference on Money Laundering and Financial Crimes, Bangkok, Thailand (with Sam Maimbo – World Bank);

OCDETF (Organized Crime and Drug Enforcement Task Force) meetings in Idaho and Hawaii;

Boston Police Department Task Force on the Victims of Human Trafficking. Boston, MA.

United Arab Emirates Central Bank International Conferences on Hawala, key-note speaker, Abu Dhabi, UAE (1st, 2nd, 3rd International Conferences on Hawala);

Federal Reserve and High Intensity Financial Crimes Areas (HIFCA) Task Force New York meeting on financial crime;

Bundeskriminalamt (BKA – German Federal Police), Wiesbaden, Germany,

Bundesanstalt fuer Finanzdienstleistungsaufsicht, Bonn, Germany,
Egmont Group, annual meeting in Oaxaca, Mexico;
North Carolina Governor's Crime Commission – Safe Communities Conference in
Charlotte, NC, USA
Anti-Mafia task force (DIGA), Milan, Italy;
Hellenic Financial Intelligence Unit (SDOE), Athens, Greece;
FLETC (Federal Law Enforcement Training Center) advanced seminars on money
laundering in Chicago and S. Francisco;
International Institute for Strategic Studies (IISS) meeting on "Strategic Implications of
Developments in Information Technology", Washington, DC;
US Defense Science Board, Intelligence Support to Special Operations, Department of
Defense, Virginia;
US National Institute of Justice Research in Progress Program in Washington, DC.
Ohio Bank Fraud Working Group meeting,
National Academy of Sciences meeting on transnational organized crime, Washington,
DC;
Resolution Trust Corporation (RTC) annual meeting, Pennsylvania.

4. WORK EXPERIENCE

Consultancies

Since 1989, I have conducted research and carried out projects for several law firms, private security firms, as well as for the (US) National Academy of Science, the Commission of the European Union, the German Parliament, the United Nations Crime Prevention and Criminal Justice Programme and the International Crime Prevention Centre, the UN Development Programme, UN Office of Drugs and Crime, the UN Monitoring Group on al Qaeda and Taliban finances, the World Bank, the IMF, Inter-American Development Bank and a number of governments.

I have written reports and provided advice to both prosecution and defense teams in various cases involving informal money transfers, terrorism, and financial misconduct in the Americas, Europe, South Asia and the Middle East.

In the past years, I have advised FinCEN (US Treasury Department) on hawala and other informal value transfer systems, crime vulnerabilities in the online payment infrastructure and commodities trade, as well as the development of red flags and guidelines for the industry. On similar issues I advised prosecuting and defense teams in the UK, India and US (Michigan, California, Tennessee, New York, Virginia, Puerto Rico, New Hampshire).

I have drafted the Legislative Guide for the Implementation of the UN Convention on Transnational Organized Crime on behalf of the The International Centre for Criminal Law Reform and Criminal Justice Policy (ICCLR), Vancouver, and the United Nations Office on Drugs and Crime (UNODC).

I consulted with the World Bank on the regulation of remittances in South Asia with emphasis on Pakistan, India, Sri Lanka and Bangladesh, as well as with the IMF on a study concerning the regulation of Informal Fund Transfer Systems.

I conducted a comparative study of national anti-corruption programs on behalf of the United Nations Development Programme, another study on the effects of money transfer/remittance national and international regulation on behalf of the World Bank, and a study on illegal logging and money laundering in South East Asia.

I consult regularly with private financial institutions and government agencies on regulatory and AML/CFT, anti-corruption and security/terrorism issues. Recent projects include work with the Norwegian Ministry of Foreign Affairs, the Caribbean Financial Action Task Force, OECD, DfID and the Finnish Ministry of Foreign Affairs on corruption asset recovery,

free trade zones and financial crime, conflict reduction, anti-corruption and development policy and technical assistance issues respectively. Recent and current projects also include advice to the Commission of the European Union on organized crime and security policy issues, advice to the UN Monitoring Group on financial sanctions against al Qaeda and the Taliban, the monitoring of the implementation of the UN Convention against Corruption and the UN convention against transnational organized crime, “gap analysis” for the implementation of the UNCAC in Caribbean islands, testimony before the Canadian Commission of Inquiry into the bombing of Air India relative to terrorist finance, research into charities and the finances of al Qaeda, and regulation of the Netherland Antilles Free Trade Zone. The main current project focuses on national anti-corruption laws and practices for the benefit of UNODC and the International Cooperation Department of the Supreme People’s Procuratorate of P. R. China. Finally, participated in a project funded by the Organization for Security and Cooperation in Europe sought to construct a preventive strategy against human trafficking, by looking into relations between this illicit market, official corruption, money laundering and interfaces with legal social actors.

Select recent activities:

- Course Director, Ethics and Compliance Officer Association (ECO) for the development and delivery of online courses on corruption aimed at compliance officials globally.
- Consultant to the Centre for International Rule of Law and Anti-Corruption, Doha, Qatar for the development of its training and educational program.
- Consultant to the UN Development Programme on the development and delivery of anti-corruption courses in leading Arab Law Schools
- Consultant to the Controladoria Gerao da Uniao (CGU) Brazil for projects on anti-corruption self –assessment methods based on performance indicators and benchmarks and on research on anti-corruption authorities
- Programme Consortium Member for the development of a MA degree in anti-corruption, International Anti-Corruption Academy (IACA), Vienna, Austria - http://www.iaca.int/index.php?option=com_content&view=article&id=142&Itemid=1 .
- Advisory services and collaboration with the International Anti-Corruption Academy (IACA) on the development, planning and delivery of courses
- Team Leader for a European Union project looking into the control against proliferation/WMD finance;
- Serving on international organizing committees for the organization of the Global Forum and the Conference of States Parties to the UN convention against corruption in Doha, Qatar;
- Scientific advisor for the World Summit of Attorneys General and Ministers of Justice in Bucharest, Romania;
- Scientific committee of ISPAC annual conferences;
- Consultant to the World Bank on mapping the global architecture of asset recovery – StAR initiative
- Consultant to the World Bank on the regulation of remittances
- Consultant to the UNODC and World Bank for the creation of a Knowledge Management Consortium on Governance and Anti-Corruption issues (bringing Northeastern together with the UNODC, UN Development Programme, UNICRI, OECD, Council of Europe, the World Bank, Asian Development Bank, Basel University Institute of Governance, U4 Anti-Corruption Resource Center, Reuters Foundation and others).

- Member of Academic Advisory Board for the new UN/Interpol International Anti-Corruption Academy in Austria.

Chairman of QCo Holdings, a Washington, DC based consulting company in matters of governance, corruption, security, financial crime and regulation.

Research

- 2013- Visiting Law Professor, Qatar University College of Law for lectures on corruption and financial crimes.
- 2012- Adjunct Law Professor, Case Western Reserve University, for the development a delivery of a MA degree on Financial Integrity for compliance officers and regulators globally (together with the heads of Egmont Group of FIUs and of the FATF).
- 2011- Co-ordinator of global academic initiative against corruption (ACAD) with the UN Office of Drugs and Crime and the support of the OECD, the Intl Bar Association, and dozens of universities and international organizations.
- 2012- Head of Faculty Development and Planning, International Governance and Risk Institute, London
- 2009-2010 Visiting Fellow, Max Planck Institute for Comparative and International Criminal Law, Freiburg, Germany
- 2008- Honorary Visiting Professor, Southwestern University of Political Science and Law, Chongqing, China.
- 2003- Full Professor at Northeastern University, College of Criminal Justice. Current research revolves around informal value transfer systems, funds transfer and funding of terrorism, trade diversion, crime relative to digital currency payments, the social organization and control of corruption, white-collar crime, organized crime, and transnational crime, as well as theories of crime.
- 2002-2003 Visiting Scholar at Northeastern University, College of Criminal Justice.
- 1995-2002 Associate Professor, Temple University.
- 1995-1996 Visiting Professor at University of Wales College of Cardiff, School of Social and Administrative Studies.
- 1989- Assistant Professor, Temple University. Comparative studies of theoretical, empirical and policy issues in economic crime and deviance. Main projects: 'frauds in the European Community'; the BCCI affair and international banking regulation; undercover operations; new religious movements and deviance.
- 1989: Research Associate (March-August) at the Law Faculty of University College London. Research into 'European Community Frauds'. A comparative study (United Kingdom, Germany, France and Italy) involving interviews of officials and experts in this field, as well as collection, analysis and synthesis of existing data.

1989: Post-Doctoral Fellow (January-April) at University of Edinburgh, Centre for Criminology (C.C.S.P.S.L.). Research on the Scottish criminal courts, their powers of sentencing and trends in sentencing in post-war Scotland.

1984-85: Council of Europe Visiting Fellow at University of Edinburgh, Centre for Criminology (C.C.S.P.S.L.). Study of British sub-cultural theories and Merton's anomie theory; authored report.

Teaching

2003- Courses on terrorism, corruption, organized crime and white-collar crime at Northeastern University and lectures at universities around the world.

1995-2002 courses on criminological theory, organized crime, white-collar crime, transnational crimes, and comparative criminal justice.

1996 Visiting Professor, Temple Law School summer course on International Criminal Law at the University of Athens.

1996 Visiting Professor, Univ. of Cardiff post-graduate seminars on theories of crime and white-collar crime.

1989-96 Assistant Professor, courses on Theories of Crime, Organized Crime, White-Collar Crime, Regulation of Financial Institutions, Deviance and New Religious Movements, Comparative Criminal Justice.

1987-88: Tutor in Theoretical Criminology, Sociology of Punishment and Criminal Justice, at University of Edinburgh, Centre for Criminology (C.C.S.P.S.L.).

Service

2012- Member of Global Task Force on Corruption sponsored by India's Central Vigilance Commission.

2011- American Society of Criminology (ASC) representative to the United Nations

2009-11 Chair, American Society of Criminology, Division of International Criminology

2011 Member Steering Committee and Adjudication Panel for International Anti-Corruption Public Announcement Video, sponsored by the Hong Kong Independent Commission Against Corruption.

2001- Expert reports, advice and consultation on several cases involving corruption, governance, regulatory compliance, money laundering, terrorism, hawala and other informal value transfer systems in all continents.

2008 Scientific adviser for the 3rd World Summit of Prosecutors, Attorneys General and Ministers of Justice held in Bucarest, Romania, December 2008.

2006-7 Expert Witness, Canadian Commission of Inquiry into Terrorism.

- 2007 Scientific Advisor/Coordinator for the ISPAC conference on Identify Theft and Fraud. Courmayeur, Italy.
- 2006-9 Member of Interpol Advisory Board, International Anti-Corruption Academy, Vienna, Austria
- 2006 Scientific Advisor/Coordinator for the ISPAC conference on Breathing Life into the UN Convention against Corruption. Courmayeur, Italy.
- 2006-09 Rapporteur General on Terrorist Finance for the International Association of Penal Law World Congress in Istanbul, Turkey.
- 2006 Participating Expert in AGIS/Europol/LKA (Landeskriminalamt) NRW/Ghent University project on "Money transfer methods, terrorist finance and criminal activities".
- 2006- Expert/Member, Democratic Governance Practice Network (DGPNet) Advisory Group, UN Development Programme (UNDP).
- 2005 Scientific adviser for the 2nd World Summit of Prosecutors, Attorneys General and Ministers of Justice held in Doha, Qatar, November 2005.
- 2005- Board of Directors, International Society of Criminology.
- 2005-8 Member of Steering Committee (the the World Bank, IMF, DFID, S, Africa Ministry of Finance) on a comparative study on "Tools for Implementing FATF Recommendations", conducted by Genesis/Finmark and sponsored by the UK DFID and FIRST.
- 1997 Expert Witness on Financial and Deviant Aspects of New Religious Movements before the German Parliament.
- 1994- Director; member of the board of directors of the Research Committee on Deviance and Social Control - International Society of Sociology.
- 1993 Co-organiser and moderator of a Symposium on "Cross-Border Banking Offenses and Regulation: Policy Lessons from the BCCI Affair" at Temple University.
- 1991-92 Chair, Local Organizing Committee for the 1992 Law and Society Association meeting in Philadelphia.
- 1989- Organizer and Chair of sessions at American Society of Criminology, British Sociological Association, and XII World Congress of Sociology meetings.
- Editorial**
- 2004- Editor-in Chief, Crime, Law and Social Change: An International Journal.
- 2013- Member of Editorial Board, International Anti-Corruption Journal
- 2011- Member of Editorial Board, Asian Journal of Criminology
- 2012- Member of Scientific Committee, Organizational and Management Journal

- 2007- Member of Editorial Advisory Board, Open Criminology Journal.
- 2006- Member of Scientific Board, Centre for Information and Research on Organised Crime (CIROC), Free University of Amsterdam and Erasmus University of Rotterdam.
- 2006-9 Member of Editorial Board (anti-money laundering issues), Complinet <http://www.complinet.com/home/>
- 2005- Associate Editor, International Journal of Comparative and Applied Criminal Justice.
- 2003- Associate Editor; European Journal on Criminal Policy and Research.
- 2003-04 Member, Program Committee of the 2004 Amer. Soc. of Criminology meeting. Responsible for the organization of all theory and research on violence and terrorism panels.
- 1997- Reviewer for manuscripts submitted for publication in American Journal of Sociology, Social Problems, Law & Society Review, Criminology, Theoretical Criminology, Journal of Research in Crime and Delinquency, Justice Quarterly, Sociological Inquiry, Crime, Law and Social Change, Rationality and Society, Social Justice, International Journal of Comparative and Applied Criminal Justice, Sociological Quarterly, International Journal of Offender Therapy and Comparative Criminology, Criminology and Public Policy, Security Journal, International Political Sociology, Open Criminology Journal and numerous university presses and other publishers of academic works.
- 1994-2004 Series Editor on "Transnational Crime"; Northeastern University Press.
- 1997-2004 Senior Editor, Crime, Law and Social Change.
- 1994-96 Associate Editor, Crime, Law and Social Change.
- 1993-97 Associate Editor, Justice Quarterly.
- 1999-00 Member, Program Committee of the 2000 Amer. Soc. of Criminology meeting. Responsible for the organization of all white-collar and corporate crime panels
- 1997-98 Member, Program Committee of the 1998 Amer. Soc. of Criminology meeting. Responsible for the organization of all white-collar and corporate crime panels.

5. GRANTS/SCHOLARSHIPS

- 2011-2012 Private sector sponsored project under the auspices of ISPAC-UNODC on comparative study into anti-corruption compliance programs in private sector with special emphasis on oil and gas sector.

- 2011-2012 Northeastern Center for Emerging Markets Small Grant (under Dept. of Education) for survey of compliance programs in private sector in the Caribbean and S. America (paper to be published with Matthias Kleinhempel, Austral University, Buenos Aires).
- 2011-2012 Northeastern University study with global financial institutions on compliance improvement approaches based on computer sciences and automated processes (jointly with College of Computer Sciences).
- 2011 Controladoria Gerao da Uniao (CGU – Auditor General’s Office) research on Anti-Corruption Authorities
- 2009-10 Commission of the European Union. Financial Vigilance and Counter-Proliferation Sanctions.
- 2008- United Nations Security Council 1267 Committee “Indicators of Terrorism Finance”.
- 2007-10 United Nations Office of Drugs and Crime and International Association of Anti-Corruption Authorities (IAACA) “Knowledge Base on Anti-Corruption”; collection and analysis of 191 countries’ corruption laws, cases, national anti-corruption plans/strategies and national anti-corruption bodies. In coordination with the UN Office of Drugs and Crime, UNICRI, World Bank StAR (Stolen Asset Recovery Initiative) Program.
- 2006 NORAD (Norwegian Agency for Development Cooperation) “Corruption Assets Tracing and Repatriation”.
- 2006 Institute for Fraud Prevention “Procurement Fraud and Corruption”.
- 2005-07 National Institute of Justice (NIJ) “Understanding and Improving Law Enforcement Responses to Human Trafficking” (with J. McDevitt and A. Farrell).
- 2003-05 National Institute of Justice (NIJ) “Terrorist Finance and the Nexus with Transnational Organized Crime: Commodities Trade and the Social Organization of al Qaeda Groups”.
- 2004 US Institute of Peace “The Financial Controls of Terrorism” (with T. Bierstecker and S. Eckert).
- 2002-03 National Institute of Justice (NIJ) “Informal Value Transfer Systems, Terrorism and Money Laundering”.
- 2002-03 “Paving the Ground for a Center for International Human Rights” at Temple University.
- 2002-03 Temple University Research Incentive Fund “Global Networks of Crime and Corruption”.
- 2001-03 Financial Crimes Enforcement Network (FinCEN) “Informal Value Transfer Systems”.

- 2002 “Trade Diversion, Money Laundering and Terrorism”, CLA research incentive grant.
- 2002 “Transnational organized Criminals as Political Actors”. CLA research incentive grant.
- 2001 Ministry of Justice, The Netherlands. Follow-up research into “Underground Banking Systems and Criminal Organizations”. Ministry of Justice, The Netherlands.
- 2001 Temple University grant in aid of research for a project on international accounting frauds.
- 2001 Temple University summer scholarship for research on international accounting frauds.
- 1999 (Spring Semester) Sabbatical Leave for research on “Global Networks of Crime and Corruption: The Social Organization of Serious Misconduct”.
- 1998-99 Ministry of Justice, The Netherlands. Research into “Underground Banking Systems and Criminal Organizations”.
- 1994-95 European Documentation and Research Network on Cross-Border Crimes grant for research into European Union frauds.
- 1994-95 Lilly Foundation Fellowship for the preparation of a course on Transnational Crime.
- 1993 Temple University summer scholarship for research on BCCI.
- 1993 Temple University Grant-in-aid for research into the BCCI affair.
- 1991- I have received from Temple and Northeastern Universities salary increases for meritorious achievements in research and service in 12 different years.
- 1991-3 Fund for the Improvement of Post-Secondary Education (FIPSE) summer grants in-aid-of-teaching awards.
- 1989-90 Research award from the Commission of the European Community for a study into European Integration.
- 1989 Post-Doctoral Fellowship, Univ. of Edinburgh.
- 1985-88 University of Edinburgh Scholarship.
- 1984-85 Council of Europe Fellowship for research in criminological theory.
- 1980 Exhibition Scholar; National Foundation for Research (Greece).
- 1979: Universidad Menendez Pelayo Scholarship for a month's course on "History of Spanish Art and Literature" in Santander, Spain.

1978 Study scholarship from the French Ministry of Culture for a course on "Modern and Contemporary Theatre" in Paris, France.

6. LANGUAGE SKILLS

- English (native speaker competence)
- Greek (native speaker)
- French, Spanish and German (fluent)
- Italian (very good)
- Portuguese, Danish and Swedish (working knowledge).

Background

An astute, results-oriented leader with proven success in implementing strategic, enterprise-wide initiatives. A strategic and creative thinker that can adapt to new situations quickly and effectively. Exceptional technology, program management skills.

Professional Expertise

- Demonstrated ability to resolve challenges and achieve results in a complex organization structure
- Highly motivated and innovative with excellent organization, presentation and communication skills
- Flexible and articulate individual with excellent analytical and business analysis skills.
- Well-developed program management skills with proven success implementing cross-enterprise initiatives and systems
- Over thirty years of experience in finance, accounting, risk management, compliance and strategic initiatives
- Extensive negotiations and consensus build skills.
- Experienced international speaker on AML and risk related matters

Accomplishments

- Provided strategic leadership for RBC's Anti Money Laundering (AML) and Anti-Terrorism Program since its inception
- Successfully implemented RBC's (AML) & Anti-Terrorism Compliance Regime and created an AML Professional Centre
- Led the implementation of major cross-enterprise systems including (over \$100mm): AML Training, Suspicious Transactions Reporting, Large Cash Reporting, Control List Filter and AML Detection Systems
- Navigated RBC through challenging regulatory issues and developed AML Compliance programs to meet US AML requirements
- Managed a global team of over 250 AML Professionals
- Transformed the AML Operations centre into a financial intelligence unit, recognized as an industry leader
- Transformed the approach to AML monitoring resulting in significant reduction in false positives and improvement in suspicious activity reporting
- Member of the Advisory Council for National Security for the Prime Ministry of Canada (2009 -2012)
- Participated on various international AML forums and operational risk including, the Institute of International Finance and the Risk Management Group of the Basel Committee on Banking Supervision, Wolfsberg and United Nations
- Working with the centre for the protection of children to identify and stop commercial child pornography
- Successfully negotiated regulatory issues and impacted new regulations
- Participated in a number of new acquisitions, new product developments and remediations to ensure AML Controls are built into the process
- Led major client investigations
- Opined on high risk client approvals, demarkets and advised the Reputational Risk Oversight Committee with respect to high risk client cases submitted for approval to the committee
- Led the development of a number of AML risk management tools including, Inherent Risk Assessment, Program Assessment and Client Risk Scoring
- Achieved cost savings of several million dollars
- Led the development of leading edge dashboards and metrics
- Set-up and led the Association of Anti-Money Laundering Specialists in Canada
- Led the development of RBC's Anti-Bribery/Anti Corruption Program
- Worked with various agencies including RCMP, CSIS and the Centre for the Protection of Children on various cases
- Developed and implemented RBC's Risk and Control Self-Assessment and OpRisk capital allocation methodology
- Restructured and redesigned CIBC's Technology Asset Management Group
- Participated in the restructuring of the Workers' Compensation Board (WCB)
- Redesigned control process that saved millions of dollars in fraud

- Participated in the design, development and implementation of major systems
- Led and successfully facilitated process re-engineering efforts
- Managed multiple project teams as part of a systems implementation, including data conversion and data clean up and risk and controls team as part of consulting engagements.
- Led and coordinated budgeting, financial and operational planning
- Developed and implemented integrated planning and reporting models for operating revenues, investment returns and consolidated balance sheet
- Identified, analyzed and evaluated critical weaknesses of systems as part of systems development
- Created activity based costing systems that resulted significant cost savings for organizational units as well as improving the management reporting systems
- Led various audits, tax reviews and consulting engagements

Employment History

RBC Financial Group, VP and Global Head Anti-Money Laundering	Oct 2001 – Current
RBC Financial Group, Director, Operational Risk	Oct 1998 – Oct 2001
CIBC, Director, Technology Risk Management	Feb 1998 – Oct 1998
Workplace Safety and Insurance Board - Senior Manager, Risk Management & Controls	Nov 1990 – Feb 1998
Senior Audit Manager/Senior Consultant – Various CA/Consulting Firms	Sept 1982 – Oct 1990

Other Skills/Accomplishments

- Co-Chair of the Canadian Chapter of Association of Anti Money Laundering Specialists (ACAMS)
- Member of the Advisor Board of ACAMS
- Member of the Canadian Financial Coalition against Child Pornography
- Very high level of proficiency in software packages, including, spreadsheets, databases, word processors, graphic packages and other software packages such as Microsoft Access and Developers Toolkit
- Developed various user applications on Microsoft Access and Lotus Approach
- Developed and delivered financial and computer training
- Lectured at Richview Collegiate on Small Business Management and various PC software products
- Presented various conferences for Operational Risk and Anti-Money Laundering, including for the US Treasury/Middle Eastern and North Africa (MENA) organization
- Developed the loss classification categories for the Basel Committee as part of the operational risk quantification project
- Personal performance consistently rated as exceeds expectations. Rated as tier one employee and nominated to participate in the RBC Mentorship Program for the past 3 years
- Continually enhancing/developing skill sets through conferences and training programs
- Selected to attend the Governor General's Canadian Leadership Conference in May 2004,

Education and Professional Training

- Double honors in Accounting and Finance from Bristol, England
- Fellow of the Institute of Chartered Accountants in England and Wales (FCA)
- Associate of the Canadian Institute of Chartered Accountants (ACA)
- Certified Anti Money Laundering Specialist

Moni SenGupta joined the FIRST Initiative in 2011. She spent 9 years with the IMF Legal Department, advising on legal and financial sector issues, including FSAPs, G-20 and Financial Stability Board policies, provided direct technical assistance, and designed of trust funds and other financial arrangements for IMF TA. She also supported IMF lending and surveillance. Previously, she was a banking lawyer in Washington D.C., first with the Office of the Comptroller of the Currency, U.S. Department of Treasury and later in private practice with Arnold & Porter, LLC. Her practice focused on multilateral financial institutions regulatory compliance and enforcement, including problem banks, fraud, and money laundering.

Moni holds LL.M in Banking Law from Boston University School of Law Morin School of Banking Law Studies, a Juris Doctor from the Ohio State University College of Law and a Bachelors degree in Economics and Spanish from Carnegie Mellon University.

RICHARD A. SMALL

(212) 640-3075
rick.small@aexp.com

Experience:

May 2008
to Present

**SENIOR VICE PRESIDENT, ENTERPRISE WIDE ANTI-MONEY LAUNDERING,
ANTI-CORRUPTION, AND INTERNATIONAL REGULATORY COMPLIANCE
AMERICAN EXPRESS**
New York, New York

Responsible for the development and implementation of the global anti-money laundering program, global sanctions program and global anti-corruption program. Also responsible for all Compliance activities outside of the United States. Member of the American Express Compliance Senior Leadership Team. Manage a global team of approximately 400 Compliance professionals.

June 2006
to May 2008

**GLOBAL ANTI-MONEY LAUNDERING LEADER, GE MONEY
GENERAL ELECTRIC COMPANY**
Stamford, Connecticut

Responsible for the development and implementation of GE Money's global anti-money laundering program, which included policy formulation, strategic planning, ongoing compliance and self-assessment and measurement tools. In addition, responsible for the selection and implementation of global anti-money laundering and due diligence technology solutions and the development and deployment of anti-money laundering training programs. Managed relationships with bank supervisors and regulators globally. Also had oversight responsibility for OFAC and FCPA. Developed a global anti-money laundering infrastructure with appropriate resourcing and tools.

July 2001
to June 2006

**MANAGING DIRECTOR, GLOBAL ANTI-MONEY LAUNDERING
CITIGROUP, INC.**
New York, New York

Responsible for overseeing Citigroup's global anti-money laundering program, including strategic planning and development, ongoing anti-money laundering compliance, development and oversight of anti-money laundering technology initiatives, management of money laundering and terrorist financing related investigations, identification and resolution of significant and sensitive matters related to potential money laundering issues and development and deployment of anti-money laundering training. Additionally, responsible for managing terrorist financing issues throughout Citigroup. Managed local staff of twenty-five and, through matrix management, responsible for staff of 500 globally.

September 1997
to July 2001

**DEPUTY ASSOCIATE DIRECTOR
DIVISION OF BANKING SUPERVISION AND REGULATION
BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM**

**ASSISTANT DIRECTOR
ENFORCEMENT AND SPECIAL INVESTIGATIONS
DIVISION OF BANKING SUPERVISION AND REGULATION
BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM
Washington, D.C.**

Appointed as an officer to the official staff of the Board of Governors in September 1997. Responsible for the Enforcement and Special Investigations sections of the Board of Governors.

Managed staff of attorneys responsible for determining, preparing and implementing appropriate enforcement actions against domestic and foreign financial institutions and related parties for violations of criminal and civil laws and regulations that adversely affect the safe and sound operations of financial institutions.

Responsible for the development and implementation of significant regulations in the areas of money laundering, the Bank Secrecy Act and matters regarding safety and soundness of financial institutions.

Managed staff of investigators and examiners responsible for investigations and examinations of potential criminal and civil violations, including fraud, money laundering and insider abuse, with regard to foreign and domestic financial institutions operating within the United States.

Additional responsibilities included representing the Federal Reserve System in international initiatives such as the Financial Action Task Force, G-7 and other multi-national programs and coordinating and providing specialized assistance and training to domestic and international law enforcement agencies, foreign governments, domestic and foreign bank supervisory agencies and domestic and foreign financial organizations.

Promoted to the position of Deputy Associate Director in December 2000.

December 1989
to
September 1997

**SPECIAL COUNSEL and MANAGER
SPECIAL INVESTIGATIONS AND EXAMINATIONS
BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM
Washington, D.C.**

Directed and actively participated in litigation efforts of various enforcement matters, including motion practice, trial preparation and trial litigation. Responsible for setting policy with regard to the Bank Secrecy Act and money laundering matters within the Federal Reserve System. Also responsible for developing and reviewing financial institution compliance programs for compliance with all appropriate laws and regulations, as well as developing examination methods and practices to ensure compliance.

Initiated corrective enforcement actions against financial institutions for noncompliance with Bank Secrecy Act and related regulations. Coordinated various enforcement initiatives within and outside the Federal Reserve System and established a System-wide task force on money laundering.

January 1988
to
December 1989

**SENIOR COUNSEL FOR LAW ENFORCEMENT
OFFICE OF THE GENERAL COUNSEL**

**ACTING DEPUTY ASSISTANT SECRETARY FOR
LAW ENFORCEMENT**

DEPARTMENT OF THE TREASURY
Washington, D.C.

As Senior Counsel for Law Enforcement, provided legal analysis, opinion and support on a variety of subject matters including operational and proposed programs, legislative and regulatory initiatives, ongoing and proposed litigation and personnel matters related to the enforcement functions of the Department of the Treasury.

As Acting Deputy Assistant Secretary, was responsible for departmental oversight of the law enforcement bureaus of the Department of the Treasury, including U.S. Customs Service, U.S. Secret Service, Bureau of Alcohol, Tobacco and Firearms and Federal Law Enforcement Training Center, as well as administration of the Bank Secrecy Act.

1984 to 1988

**ACTING ATTORNEY IN CHARGE - DEPUTY ATTORNEY IN CHARGE
ORGANIZED CRIME AND RACKETEERING SECTION,
CRIMINAL DIVISION, UNITED STATES DEPARTMENT OF JUSTICE**
Los Angeles, California

Responsible for the operation of the Los Angeles Strike Force of the Organized Crime and Racketeering Section. Duties included supervision of staff of thirty individuals consisting of trial attorneys, law enforcement personnel and support staff, overall case management, and day-to-day operations. Reviewed and provided direction with regard to initiating prosecutions, investigative and trial strategies, as well as maintaining individual caseload consisting of variety of matters related to traditional and nontraditional organized crime, including extortion, fraud, narcotics, tax evasion and money laundering.

1980 to 1984

**TRIAL ATTORNEY, ANTITRUST DIVISION
UNITED STATES DEPARTMENT OF JUSTICE**
Philadelphia, Pennsylvania

Investigated and prosecuted criminal and civil antitrust violations. Participated in complex litigation related to price fixing and price maintenance, bid rigging and mergers and acquisitions.

**Professional
Associations**

ASSOCIATION OF CERTIFIED ANTI-MONEY LAUNDERING SPECIALTIST (ACAMS)
Certified Anti-Money Laundering Specialist
Chairman, Advisory Board, ACAMS

AMERICAN BANKERS ASSOCIATION / AMERICAN BAR ASSOCIATION
Co-Chairman, Annual Anti-Money Laundering Conference

Education:

SCHOOL OF LAW, HOFSTRA UNIVERSITY
Hempstead, New York
Juris Doctor, 1980

RIDER COLLEGE
Lawrenceville, New Jersey
Bachelor of Science in Commerce, Cum Laude, 1977

Kevin Mark Stephenson

Curriculum Vitae

A uniquely qualified manager with an international profile in law enforcement, financial intelligence, asset recovery, policy and operational matters. Extensive international experience on a wide range of topics, published author, and involved in high profile and politically sensitive matters. A highly accomplished criminal investigator and liaison officer, manager of a Financial Intelligence Unit, program manager, policy and training course developer.

Professional Experience

- 2012-present: **Executive Secretary Egmont Group - Toronto, Ontario, Canada**
- Manage the Secretariat of the Egmont Group of Financial Intelligence Units
 - Provide strategic, business and financial planning advice and in carrying out business plans on time and within budget
- 2008 to 2012: **Senior Financial Sector Specialist – World Bank, Washington, DC.**
- Financial Market Integrity – Project Manager of several projects – developing training needs – Tactical Analysis Course, Strategic Analysis Course, National AML/CFT Collaboration and Cooperation Course; technical Assistance; Capacity Building
 - AML/CFT Matters – Global – Policy Work with Clients
 - Asset Recovery
 - FATF Policy Work - Operational Working Group – Co-Chair
 - Egmont Group – Training Working Group
 - StAR – Stolen Asset Recovery Initiative – Transaction assistance; develop and publish knowledge products.
 - MER – Mutual Evaluation Reports (FATF) of countries
- 2008 to 2008: **Anti-corruption Advisor to Prime Minister, East Timor, United Nations**
- Advisor to the government of Timor-Leste on developing good governance in the fields of Anti-Corruption, Transparency and Accountability. Assist the government of Timor-Leste develop the appropriate institutions to combat corruption; assist in developing the necessary legal frameworks; and capacity building.
- 2005 to 2008: **Director, Financial Intelligence Centre, Kosovo, United Nations**
- Execute the overall management of the Centre; the strategic and operational planning and decision-making within the FIC; implementing personnel regulations and policies; preparation and management of the budget of the FIC; supervising the activities of the internal departments; deciding on the temporary suspension of a transaction; dissemination of financial intelligence reports to the competent authorities; reviewing and when required drafting opinions to draft legislation; providing training for persons under reporting obligation and other authorities and institutions

Kevin Mark Stephenson

Curriculum Vitae

involved in the prevention of money laundering and the financing of terrorist activities; representing the FIC when interacting with international institutions; representing the FIC abroad and in relation to relevant international institutions; develop policy and procedure manuals for the FIC Staff.

2002 – 2005:

Deputy Attaché, Department of Homeland Security, American Embassy, New Delhi, India

Supervise day to day operations of the office; develop the operational plan; coordinate budgetary matters; represent the Department of Homeland Security/ICE in several matters of International interest, CSI, C-TPAT, CMAA, etc.; supervise and coordinate all investigative matters; generate complex reports, threat analysis, etc.; conduct Criminal Investigations within Area of Responsibility - Bhutan, India, Nepal, Maldives, and Sri Lanka that have a nexus to the USA in the areas of Money Laundering, Terrorism Financing, Trade Fraud, Sex Tourism, Child Pornography, Illegal Exports (Weapons), Alien Smuggling, Security - Counter Terrorism.

2000 to 2002:

Assistant Customs Attaché, Department of Treasury, American Embassy, Berlin

Law enforcement liaison officer with twenty nations - including Germany, Holland, Sweden, Norway, Denmark, Finland, Poland, and all of the former Soviet Union excluding Russia; coordinated mainly financial investigations with the aforementioned nations' police and customs authorities; post 9/11, coordinated "Operation Greenquest (OGQ)" terrorism financing investigations in the aforementioned nations – at that time OGQ was the most successful anti-terrorism financing operation ever conducted by international law enforcement; conducted investigative liaison work with police and customs authorities in fraud, money laundering, weapons smuggling, strategic investigations, child pornography and other violations of US law; provided financial and investigative training in several nations to include Armenia, Kazakhstan, Norway, Finland, Latvia, Lithuania, Estonia, and Sweden.

1997 – 2000:

Senior Special Agent, United States Customs Service, Department of Treasury, New York, New York

Senior Special Agent - worked undercover against Russian organized crime operating in the New York metropolitan area; worked undercover against Palestinians and others involved in stealing luxury autos in the USA and illegally exporting them out of the USA; conducted criminal investigations, executed search warrants, testified in federal court, conducted surveillance, etc.

Kevin Mark Stephenson

Curriculum Vitae

1994 – 1997 **Law Enforcement Liaison Officer, American Embassy, Skopje, Macedonia**

Law Enforcement liaison officer handling all law enforcement issues; maintained regional responsibility (Bulgaria, Macedonia, Romania, Albania, Croatia, Slovenia, Hungary) concerning US Customs matters; Liaison Officer assigned to OSCE (Sanctions Assistance Mission); UNDP - worked on \$2 million project with UNDP - building border crossings for Macedonia and Albania; special regional projects during Bosnian War; provided regional training, assisted in the establishment of law enforcement entities within the region; attended and participated in OSCE meetings in Vienna.

1987 – 1994: **Special Agent, United States Customs Service, Department of Treasury, Fort Myers, Florida**

Special Agent investigating Customs related offenses (money laundering, drug smuggling, trade fraud, child pornography and other federal offenses) in south west Florida.

Publications

- Lead author *Barriers to Asset Recovery*
- Co-author *Asset Recovery Handbook: A Guide for Practitioners*

Recommendations/Awards

1987-to date: Received numerous awards throughout my career.

Education

1984 – 1986: Master of Science, Criminal Justice, University of Tennessee

1980 – 1984: Bachelor of Arts, Political Science, University of Tennessee

Personal

Date of Birth: 18th May 1962

Marital Status Married, 1 Son, 1 Grandson

Contact Details: Telephone: + 1-416-355-5676 office
 + 1-647-919-5670 mobile

E-mail: kevin.stephenson@egomontsecretariat.org

Kevin Mark Stephenson
Curriculum Vitae

kvolberlin@hotmail.com

EMILE VAN DER DOES DE WILLEBOIS

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EXPERIENCE

The World Bank

2004-Present

Washington, D.C., USA

- Financial Market Integrity Unit (FPDFI) at the World Bank with expertise on Anti-Money Laundering (AML) and Countering the Financing of Terrorism (CFT). Main responsibilities include drafting and reviewing primary and secondary AML and CFT legislation and criminal policy, conducting country AML/CFT assessments and training country officials on AML/CFT systems and domestic cooperation. Deputy Manager since 2011.
- Part of the World Bank/ UNODC Stolen Asset Recovery Initiative (StAR) since inception (2007) – offering both direct country assistance (helping countries establish contact with financial centers, conducting mutual legal assistance, developing an asset recovery strategy) and conducting policy work. Leading country work in Egypt
- Work spans countries in: Eastern Europe, Central Asia, Middle East, Sub Saharan Africa, South Asia and East Asia and Pacific. Led AML/CFT country assessments of Rwanda, Niger, The Philippines and Papua New Guinea.

Ministry of Finance

2002-2004

The Hague, The Netherlands

Responsible for the implementation of the international standard on AML/CFT (the 40 Recommendations of the Financial Action Task Force against money laundering–FATF) in Dutch legislation and financial regulation.

De Brauw, Blackstone, Westbroek, Lawyers and Notaries

1998-2002

Amsterdam, The Netherlands

- Attorney (*advocaat*) specialized in banking and capital markets regulatory affairs.
- Admitted to the Dutch Bar.

The International Criminal Tribunal for the former Yugoslavia (ICTY)

1996-1998

The Hague, The Netherlands

- Lawyer in the Office for the Prosecutor on the case of the Prosecutor v General Blaskic
- Assistant to Professor Micha Wladimiroff, defense counsel in the first case before the ICTY, the case of the Prosecutor v Dusko Tadic, drafted motion disputing ICTY jurisdiction

EDUCATION

Master of laws (“*meester in de rechten*”) and graduate degree in Philosophy (“*doctorandus in de filosofie*”), from Leiden University, The Netherlands

PUBLICATIONS (all available on-line)

- “The Puppet Masters”, a StAR report on the use of legal entities for in corruption cases - concealing beneficial ownership, protecting assets. (lead author) (2011)
- Nonprofit Organizations and the Combatting of Terrorism Financing, a proportionate response (World Bank working paper) (2010)
- Preventing Money Laundering and Terrorist Financing: A Practical Guide for Bank Supervisors (co-author)(2009)
- Forthcoming: “Civil remedies against corruption” (planned first half 2013)

LANGUAGES

- Dutch (native) English (native) French (excellent) German (excellent) Spanish (fluent) Russian (basic)

Personal résumé:

Boudewijn VERHELST
° 2 November 1947, Brugge (B)

Business address : Gulden Vlieslaan 55, bus 1, 1060 BRUSSELS, Belgium
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Doctor Juris, graduated University Leuven (B), 1971.

King's Attorney (Public Prosecutor) in Brugge (B) from 1975 to 1994, in charge of the financial fraud section.

Deputy Attorney General at the Court of Appeal in Gent (B) since 1994.

Seconded as deputy director of the Belgian Financial Intelligence Processing Unit CTIF/CFI since 1 July 1993.

Chairman of the Egmont Group of Financial Intelligence Units from July 2010 to July 2013.

Law enforcement expert to the Moneyval Committee (Council of Europe)

Evaluator (legal / law enforcement) in FATF, Council of Europe, CFATF, WB and IMF AML/CFT assessments

SEAN ANTHONY WATTERSON

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Lakewood, OH 44107
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RELEVANT WORK EXPERIENCE

Program Committee Member and Advisor, Program on Financial Integrity, Case Western Reserve School of Law. Participate in all activities of the Program, 2011-present.

Bank Of America, Enterprise Policy & Regulatory Relations, Cleveland, Ohio
Senior Vice President, 2009 – 2010

Developed systems to track all regulatory requirements under the US Government's TARP and TALF programs and map those requirements to applicable departments within the bank. Developed and implemented a system for collecting, consolidating and reporting regulatory information from the bank's non-US operations to the Federal Reserve. Directed the firm's Emerging Regulatory Risk Group and coordinated the firm's Emerging Regulatory Risk Forum.

Merrill Lynch, Global Monetary & Financial Control Group New York, New York
Director, 2007 – 2008

Managed Global Coordination team, and developed and maintained the firm's anti-money laundering and economic sanctions risk assessment, policies and procedures, quality assurance program, and training programs. Coordinated and managed audit and exam of and coordinated anti-money laundering and economic sanctions compliance by Merrill's non-U.S. operations (37 countries).

Citigroup Inc., Global Anti-Money Laundering New York, New York
Associate Director, 2005- 2007

Developed policies and procedures to aid in implementing Citigroup's anti-money laundering program across Citigroup business lines, including the Corporate Investment Bank, Global Wealth Management, the Global Consumer Group, and Citigroup Alternative Investments, and in over 100 jurisdictions where Citigroup has a presence. Performed onsite quality assurance assessments of anti-money laundering compliance programs in various businesses and in countries, including Pakistan, Malaysia, Hong Kong, Chile, Ireland, Canada and India.

Securities & Exchange Commission, Office of International Affairs, Washington, DC
Senior Counsel, 2001-2005, Program Manager, 2004-2005, Acting Assistant Director for Technical Assistance 2005- 2005

Worked extensively on international enforcement cases, negotiated cross-border information sharing arrangements with Bermuda, the Bahamas, and the Cayman

Islands and represented the Commission in international forums, including the Financial Action Task Force, the Council of Securities Regulators of the Americas and the International Organization of Securities Commission's Task Force on Client Identification and Beneficial Ownership. Organized and delivered training programs in the U.S. and abroad, on topics including enforcement, market oversight and anti-money laundering.

SG Cowen Securities Corporation, Cleveland, Ohio

Vice-President Municipal Bond Trading, 1994-2000

Involved in all aspects of the operation and management of a municipal bond trading desk. Maintained \$3 million inventory, supplying over 30 retail and institutional salespersons with product and knowledge to assist their clients.

Baker & Co., Inc., Cleveland Ohio

Account Executive, 1991-1994

Earned Series 7 & 63 licenses and worked as a retail account executive, advising and executing transactions on behalf of retail brokerage clients.

EDUCATION

Case Western Reserve University School of Law, Cleveland, Ohio, J.D. 2001

G.P.A. 3.71/4.00, Dean's honor list, Class rank 12 of 177, Order of the Coif

Articles Editor, Case Western Reserve University Law Review

Awarded Frederick I. Cox International Law Award, June 2001

Awarded the C.A.L.I. Excellence Award for the study of property law, June 1999

St. Petersburg Summer Law Institute, St. Petersburg, Russia, August 1999

G.P.A. 4.00/4.00

Williams College, Williamstown Massachusetts, B.A. American Studies, 1991

Four-year member of the varsity swimming and water polo teams.

PROFESSIONAL ORGANIZATIONS & QUALIFICATIONS

Ohio State Bar, Admitted to practice law 2001

Depository Trust & Clearing Corporation (DTCC) AML Advisory Committee,

Member 2008 – 2009

Securities Industry & Financial Markets Association (SIMFA) AML Committee,

Member 2006 – 2009

Financial Action Task Force, Member of the United States delegation to FATF, representing the US Securities & Exchange Commission, 2002-2005, Represented the International Organization of Securities Commissions, 2003-2005

Ohio Municipal Advisory Council, Trustee and Secretary-Treasurer 1996-1998

Cleveland Bond Club, Member, Board of Governors 1992-1997

SELECTED SPEAKING ENGAGEMENTS

Association of Certified Anti-Money Laundering Specialists - 2008 Annual International Money Laundering Conference & Exhibition

Institutional Investor – 2007 & 2008 Anti-Money Laundering & Counter-Terrorist Financing Forums

U.S. Securities & Exchange Commission – International Institute for Securities Market Development (2004 – 2006); International Enforcement Institute (2004 & 2005); Regional Enforcement and Market Oversight Training Programs with US AID – Rio de Janeiro, Brazil (2004), Bucharest, Romania (2004), Abuja Nigeria (2005), Santo Domingo, Dominican Republic (2007); Regional Enforcement and Market Oversight Training Program with the Financial Services Volunteer Corps – Dubai, United Arab Emirates (2004)

CASE WESTERN RESERVE UNIVERSITY
Cleveland, OH 44106

**Report of the Faculty Senate Bylaws Committee
to the Faculty Senate Executive Committee**

October 11, 2017

The Faculty Senate Bylaws Committee unanimously recommends adoption of the draft revisions to the Bylaws of the Case School of Engineering.

The Bylaws Committee in doing so wishes to note two issues with respect to constituent faculty bylaws in general which arose in discussion of the draft revisions to the CSE Bylaws:

First, in Article IX, Preamble and Section C (p. 13), there is specification of the Division of Education and Student Programs. Although all of the full-time faculty currently appointed to this Division also hold appointments in one of the CSE Departments (and no full-time faculty member holds a primary appointment in the Division), the Bylaws Committee points out that the existence of this Division appears to conflict with the provisions of Chapter 2, Article VII, Sec. B, Par. 1 of the Faculty Handbook (p. 26).

Second, Article II, Sec. A (p. 1) provides that only tenured and tenure-track faculty may vote on matters related to faculty appointments, promotion and tenure. Full-time non-tenure-track faculty therefore may not vote on appointment or promotion of other full-time non-tenure-track faculty to equal or lower rank. While this provision does not appear to conflict with the current provisions of the Faculty Handbook, it nonetheless raised questions among the Bylaws Committee with respect to equity, and the Bylaws Committee wishes to point out this larger policy issue to the Executive Committee.

Proposed Amendments to Case School of Engineering Bylaws

Ballot Item #	Topic	Current	Proposed Amendment	Notes	CSE Faculty Vote Results (For/Against)
1	Voting privilege	Tenured and tenure-track	Tenured, tenure-track and full-time non-tenure track. (But not special faculty.) Only tenured and tenure-track on matters related to appointments, promotions and tenure.	Art II. Sec. A.	52/14
2	<i>Ex officio</i> members of Faculty	President and Dean	Add the Provost	Art. II Sec. B Some schools include these positions as <i>ex officio</i> .	58/8
3	<i>Ex officio</i> members of Faculty	President and Dean	Add the Dean of Undergraduate Studies, without a vote	Art. II Sec. B Some schools include these positions as <i>ex officio</i> .	46/18
4	<i>Ex officio</i> members of Faculty	President and Dean	Add the Dean of Graduate Studies, without a vote	Art. II Sec. B Some schools include these positions as <i>ex officio</i> .	48/18
5	Duties of the Dean	Lacks some detail.	Expand language to be more detailed and descriptive as set forth in Art. III Sec. A.	Art. III Sec. A	54/9
6	Notification requirement for faculty meetings	7 days for regular meetings and 6 days for special meetings	5 days for special meetings	Art. IV Sec. C. 7 days for regular meeting remains unchanged.	53/11
7	Voting process	Voting conducted at meetings where a quorum is present	Voting either in person at the time of the meeting or electronically after the meeting, as determined by the EC and indicated on the agenda.	Art. IV Sec. E. The voting process for amendments to the By-laws (Article X) remains unchanged.	61/4
8	Quorum	40% of voting members	30% of voting members	Art. IV Sec. E.	42/22

Ballot Item #	Topic	Current	Proposed Amendment	Notes	CSE Faculty Vote Results (For/Against)
9	Electronic voting	N/A	<ul style="list-style-type: none"> Voting by secret ballot open for 3 business days after meeting. 40% of voting members of faculty must cast votes. Majority of votes cast must be in favor for motion to pass. 	Art. IV Sec. E.	52/12
10	Committees on Undergraduate and Graduate Studies	Two separate committees	One combined committee called Committee on Academics	Art. V Sec. A	35/30 FAILED
11	Who may serve on Committees	N/A	Only voting faculty members	Art. V Sec. B	60/5
12	Who may chair a Committee	N/A	Only tenured faculty	Art. V Sec. B <ul style="list-style-type: none"> The chair of the Committee on Appointments will be elected from among the committee members, who must all be tenured full professors. The chairs of other committees will be selected from among the EC members, who all must be tenured faculty. The result is that only tenured faculty may serve as committee chairs. 	58/7

Ballot Item #	Topic	Current	Proposed Amendment	Notes	CSE Faculty Vote Results (For/Against)
13	Term of office for elected (i.e., non- <i>ex officio</i>) members of Executive Committee	N/A	Two years	Art. V Sec. C.4	60/4
14	Term of office on Committee on Academics	Two years	Three years	Art. V Sec. C.1	45/18
15	Term of office on Committee on Research	Two years	Three years	Art. V Sec. C.1	45/17
16	Term of office on Committee on Budget	Two years	Three years	Art. V Sec. C.1	51/11
17	Term of office on Committee on Appointments	One year	Two years	Art. V Sec. C.2	49/14
18	Consecutive terms on committees	Not permitted	Two permitted	Art. V Sec. C.1-2	57/6
19	Staggered terms on committees	N/A	Terms will be staggered on all committees except EC	Art. V Sec. C.1-2	54/9
20	Replacement of committee members	Not provided for	Executive Committee may replace any non-contributing committee member based on committee recommendation.	Art. V Sec. C.4	
21	Election of standing committee members except Executive Committee, Committee on Appointments and Committee on Academics	Department chairs nominate members to the EC. EC appoints.	Shall be elected by the faculty during spring semester. EC, after consulting with the dean and department chairs, nominates for each committee twice the number of members to be elected. Additional nominations may be made from the floor for consideration by the EC.	Art. V Sec. D.1 This process will remain unchanged for the Committee on Appointments. The EC will consider additional nominations from the floor in order to maintain balanced departmental representation on committees.	43/20

Ballot Item #	Topic	Current	Proposed Amendment	Notes	CSE Faculty Vote Results (For/Against)
22	Tenure Status of members of Executive Committee	No requirement that members be tenured faculty.	Members must be tenured faculty.	Art. V Sec. D.2	59/5
23	Appointment of members for Committee on Academics	Department chairs nominate members to the EC. EC appoints.	Each department will elect its own member of the department to serve.	Art. V Sec. D.4	53/10
24	Appointment of committee chairs, other than EC and Committee on Appointments	Not provided.	EC to appoint committee chairs from among the elected (<i>i.e.</i> , non- <i>ex-officio</i>) EC members	Art. V Sec. D.5	54/9
25	Commencement of term for chairs of EC and Committee on Appointments	Term starts on the first day of classes for the fall semester.	Term starts on the day elected.	Art. V Sec. D.6-7 Election happens no later than the first meeting of the academic year.	49/12
26	Tenure Status of Executive Committee chair	No requirement that chair be tenured faculty.	EC chairs must be tenured.	Art. V Sec. D.8 EC chair will necessarily be tenured if Item 22 passes.	60/4
27	Dean as voting member of EC	Dean is a non-voting member.	Dean is a voting member.	Art. VI Sec. A.1	17/46 FAILED
28	Duties of the Executive Committee	Expansion proposed.	Expanded to add the duties listed in Art. VI Sec. A.5.b, c, g, and h.	Art. VI Sec. A.5.b, c, g, and h.	58/7
29	Recommendations made by Committee on Appointments	Committee on Appointments to “consider” certain matters.	Committee on Appointments to “consider and make recommendations to the dean pertaining to” certain matters.	Art. VI Sec. B.3	61/3

Ballot Item #	CSE Faculty Vote	CSE Faculty Vote	CSE Faculty Vote	CSE Faculty Vote	CSE Faculty Vote Results (For/Against)
31	Composition of Committee on Research	One faculty member from each department.	Five voting faculty members elected in accordance with Item 21.	Art. VI Sec E.1 This depends on the passage of Item 21.	40/21
32	Composition of Committee on Budget	One faculty member from each department.	Three or four voting faculty members in alternate years, elected in accordance with Item 21.	Art. VI Sec F.1 This depends on the passage of Item 21.	40/21
33	Chair and vice chair of Committee on Budget	EC selects faculty member to serve as vice chair then chair then past chair.	Modified as described in Art. VI Sec. F.3.	Art. VI Sec F.2 This depends on the passage of Item 21.	50/11
34	Duties of Committee on Budget	Expansion proposed.	Expanded to add the duties listed in Art. VI Sec. F.4.e-g.	Art. VI Sec. F.4.e-g.	54/7
35	Faculty Handbook	Control of Faculty Handbook not provided for.	In the event of a conflict between the bylaws and the Faculty Handbook, the Faculty Handbook shall control.	Art. XI	57/5
36	Limit on percentage of non-tenure track faculty	No limit imposed by bylaws.	No more than 25% of the voting faculty may be non-tenure track.	Chapter 2 Art. II Sec. A.3	55/8
37	Selection of Dean	Dean is appointed "by the president of the university after consultation with the tenured/tenure track faculty."	Delete specific process and instead make reference to the process described in the Faculty Handbook. New language would provide that the Dean is appointed "in accordance with Article VII.A of the Constitution of the University Faculty and the Guidelines for Section of Deans, Part II, Section VIII of the Policies and Procedures."	Art. III Sec. A	53/9

Ballot Item #	CSE Faculty Vote	CSE Faculty Vote	CSE Faculty Vote	CSE Faculty Vote	CSE Faculty Vote Results (For/Against)
38	Miscellaneous	N/A	Various revisions to improve language, clarify intent, etc.	Various throughout document.	55/6
39	Additional Minor Revisions	N/A	Allow additional revisions to the proposed draft to make any necessary corrections (such as fixing typos, clarifying ambiguities, etc.) and other minor changes prior to final approval by the Faculty Senate.	Potentially various throughout document.	56/7

BYLAWS OF THE FACULTY OF THE CASE SCHOOL OF ENGINEERING

CASE WESTERN RESERVE UNIVERSITY

Approved by the faculty of the Case School of Engineering, 17 November 2005
Approved with minor modifications by the Faculty Senate, 27 February 2006
Amended by the faculty of the Case School of Engineering, 26 April 2007
Approved with minor modifications by the Faculty Senate, 21 April 2010
Amended by the faculty of the Case School of Engineering, 17 March, 2011
Approved by the Faculty Senate, 21 April 2011
Amended by the faculty of the Case School of Engineering, 13 November 2012
Amended by the faculty of the Case School of Engineering, 10 April 2013
Approved by the Faculty Senate, 25 April 2013
Amended by the faculty of the Case School of Engineering, _____
Approved by the Faculty Senate, _____

Chapter 1. Organization & Constitution of the Faculty

Article I. Purpose
Article II. Membership
Article III. Officers of the Faculty
Article IV. Meetings
Article V. Committees
Article VI. Composition and Duties of Faculty Standing Committees
Section A. Executive Committee
Section B. Committee on Appointments
Section C. Committee on Undergraduate Studies
Section D. Committee on Graduate Studies
Section E. Committee on Research
Section F. Committee on Budget
Article VII. The Policy Committee: Composition and Duties
Article VIII. Representation in University Governance
Article IX. Departments
Article X. Amendment
Article XI. Faculty Handbook

Chapter 2. Policies & Procedures for Faculty Appointments

Article I. Policies & Standards for Appointment, Reappointment, Promotion & Tenure
Section A. Qualifications
Section B. Standards for Faculty Appointments
Section C. Standards for Tenure
Section D. Tenure Policies
Article II. Non-Tenure Track Faculty
Article III. Research Faculty
Article IV. Secondary Appointments

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Article V. Adjunct Faculty

Chapter 1. Organization and Constitution of the Faculty

ARTICLE I — PURPOSE

These bylaws and all amendments adopted, as hereinafter provided, shall constitute the rules governing the Faculty of the Case School of Engineering (hereinafter called the faculty) in the performance of its duties in consonance with the Faculty Handbook of Case Western Reserve University.

ARTICLE II — MEMBERSHIP

Section A. Privileges

Tenured, tenure-track and full-time non-tenure-track members of the university faculty with primary or joint appointment in the Case School of Engineering (hereinafter called the school) shall be voting members of the faculty; provided, however, that only tenured and tenure-track faculty may vote on matters related to faculty appointments, promotion and tenure. Special faculty and administrators in the school may attend faculty meetings, but shall not vote, hold office or serve on standing committees in the school, nor represent the school on the Faculty Senate.

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Section B. Ex officio Members

The following university persons shall be members ex officio of the faculty:

- a. The president
- b. The provost
- c. The dean of The Case School of Engineering (hereinafter called the "Dean" or "Dean of Engineering")
- d. Dean of Undergraduate Studies, without a vote
- e. Dean of Graduate Studies, without a vote

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Section C. List of Faculty

The Dean of Engineering shall furnish a list to the secretaries of the engineering faculty and the University Faculty of all tenured/tenure-track faculty and non-tenure track faculty of the school showing ranks and voting privileges by September 1 of each year. Additions or deletions from the list shall be communicated to the secretaries of the engineering faculty and the university faculty when they occur.

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ARTICLE III — OFFICERS OF THE FACULTY

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The officers of the faculty shall be the Dean of Engineering and the secretary of the faculty.

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Section A. Dean

Par. 1. The Dean of Engineering shall be the chief executive officer of the faculty and shall be appointed in accordance with Article VII.A of the Constitution of the University Faculty and with the Guidelines for Selection of Deans, Part II, Section VIII, of the Policies and Procedures.

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Par. 2. Par. 2. The Dean's duties shall include, but not necessarily be limited to, the academic, fiscal, and administrative responsibilities for the school as described below.

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a. Academic. The Dean shall be responsible for: building and maintaining a faculty whose commitments and quality are consonant with the mission of the school; reviewing and approving curriculum changes as recommended by the faculty; providing leadership in undergraduate and graduate student recruitment and selection for the school; undertaking regular and systematic department reviews with the goal of improving the quality of programs and research activities; developing and sustaining both graduate and undergraduate programs of the highest quality; and representing the academic needs, ambitions and plans of the school to the university's administration, to other constituent faculties, and to outside constituencies.

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b. Fiscal. The Dean shall be responsible for administering the budget of the school to meet the objectives stated in clause (a) above, and shall communicate the fiscal needs of the school to the university and other groups. The Dean shall aggressively pursue sources of income (e.g., endowments, grants, tuition income, and gifts) in order to support the objectives of the school. The Dean shall review the budget periodically with the Executive Committee and shall make an annual report of the budget and fiscal status of the school at a regular faculty meeting.

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c. Administrative. The Dean shall assure the development and implementation of policies and best practices to promote effective and efficient operation of the school. Through engagement with faculty and stakeholders, the Dean shall lead development of strategic and related plans and ensure their implementation and shall promote regular and open communication of information and decisions with faculty and other school stakeholders. The Dean shall support the professional development and advancement of faculty and staff of the school, encourage high ethical and professional standards for all members of the school, shall support and encourage leadership development within the school, and shall assure that procedures and practices for evaluation of performance of faculty and staff, promotions, tenure, and leave are clearly documented and communicated. The Dean shall communicate directly with each department chairperson regarding fiscal and academic issues within the departments. The Dean shall also identify and recommend appointments of department chairpersons to the president. The Dean shall preside at meetings of the faculty when the president of the university does not preside. The Dean shall represent the faculty to the president and to other academic officers and units of the university. The Dean shall transmit with his or her recommendation to the president of the university all cases of appointment, promotion and tenure.

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Par. 3. In carrying out the above duties, the Dean may appoint associate deans after

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consultation with the faculty.

Section B. Secretary

Par. 1. The secretary of the faculty shall be a faculty member elected at the last regular faculty meeting of the academic year. The secretary shall assume office at the conclusion of that meeting and shall serve for a term of two years and may be re-elected without limitation on the number of two-year terms (s)he may serve.

Par. 2. The secretary’s duties shall include, but not necessarily be limited to:

- a. Compiling, upon certification of the Dean of Engineering, a directory of members of the faculty and administrative officers of the school and their membership classification at the beginning of the fall semester of each year, and noting changes as may occur through the year.
- b. Recording attendance, establishing the presence of a quorum, and keeping minutes of all meetings of the faculty.
- c. Distributing copies of the directory and minutes of faculty meetings to members of the faculty and to the university archives.
- d. Serving as secretary of the Executive Committee of the faculty, defined in Article VI.
- e. Preparing official resolutions for actions by the faculty on appropriate occasions.
- f. Maintaining files of minutes of meetings of all committees except the Committee on Appointments.
- g. Transmitting to the successor, at the expiration of the secretary’s term of office, all records pertaining to that term as described above.
- h. Providing notices of meetings in accordance with Article IV.
- i. Coordinating, and counting votes from, electronic voting.

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ARTICLE IV — MEETINGS

Section A. Regular Meetings

The faculty shall hold regular meetings at least once each semester on dates established at the spring meeting of the previous year. Additional regular meetings may be called by the Executive Committee or by majority vote of the faculty at any regular meeting.

Section B. Special Meetings

The faculty shall hold special meetings when called by the Dean of Engineering or by the

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Executive Committee, or on a petition signed by twenty percent of the voting members of the faculty stating the purpose of the meeting.

Section C. Agenda, Notification

The agenda for all meetings shall be prepared by the Executive Committee, and shall include reports from the standing committees (for regular meetings) and the provision for the introduction of new business. The secretary shall notify, in writing (including electronically), each faculty member and the Dean's office of the agenda at least 7 days before each regular meeting and at least 5 days before each special meeting, in each case specifying the time, place and agenda of the meeting.

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Section D. Conduct of Meetings

The president of the university shall preside at both regular and special meetings; provided, however, that if the president chooses not to preside, the Dean of Engineering or the Dean's designate shall preside at both regular and special meetings. Except as otherwise provided in these bylaws, the presiding officer shall conduct such meetings in accordance with the most recent edition of *Robert's Rules of Order, Newly Revised*. The Dean shall appoint a member of the faculty to act as parliamentarian.

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Section E. Quorum; Voting

Except as otherwise provided in these bylaws (including, but not limited to Article X), voting on all matters coming before the faculty for vote will be conducted either in person at the time of the meeting or electronically by secret ballot after the meeting, as determined by the Executive Committee and indicated on the meeting agenda. Thirty percent (30%) of the voting members of the faculty shall constitute a quorum at both regular and special meetings, and for in person voting, all decisions shall be made by majority vote of those present and voting, except as otherwise provided in these bylaws. In the case of electronic voting, voting will be open for three (3) business days starting at the conclusion of the meeting at which the motion to be voted upon is made. The motion is approved only if, within such three (3) day period, forty percent (40%) of the voting members of the faculty cast votes and a majority of those votes are cast in favor of the motion. If the motion does not receive the requisite votes within the three (3) business day voting period, the motion fails and expires. The presiding officer (as defined in Section D) may vote only to resolve a tie.

ARTICLE V — COMMITTEES

Section A. Committees of the Faculty and of the Dean

The standing committees of the faculty shall be the Executive Committee (Article VI, Section A), Committee on Appointments (Article VI, Section B), Committee on Undergraduate Studies (Article VI, Section C), Committee on Graduate Studies (Article VI, Section D), Committee on Research (Article VI, Section E), Committee on Budget (Article VI, Section F). The Committees on Undergraduate Studies, Graduate Studies, Research, and Budget report to the

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Executive Committee. In addition there is a Policy Committee (Article VII), a committee of the Dean of Engineering.

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Section B. Membership on Committees

Voting members of the faculty (i.e., tenured, tenure-track and non-tenure-track members) may serve on committees. No faculty member may serve at one time on more than two standing committees of the school.

Section C. Terms of Office on Committees

1. The term of office shall be three years on the Committee on Undergraduate Studies, Committee on Graduate Studies, the Committee on Research and the Committee on Budget. A member of the committee may serve no more than two consecutive terms. A year shall elapse before a member who has served two consecutive terms may again serve on the same committee. Terms of office shall be staggered, with approximately one-third of the membership of each committee being replaced each year.
2. The term of office shall be two years on the Committee on Appointments. A member of the committee may serve no more than two consecutive terms. A year shall elapse before a member who has served two consecutive terms may again serve on the committee. Terms of office shall be overlapped, with approximately one-half of the membership of the committee being replaced each year.
3. Members who serve *ex officio* on the Executive Committee shall serve for as long as they hold the position entitling them to serve. The term of office for non-*ex officio* members of the Executive Committee shall be two years.
4. Based on the recommendation of a given committee, the Executive Committee may replace any non-contributing member of such committee.

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Section D. Election of New Members and Chairs

1. Members of each standing committee shall be elected by the faculty during the spring semester. The Executive Committee, after consultation with the Dean of Engineering and all department chairs, shall nominate for each committee twice the number of members to be elected. Additional nominations may be made from the floor for consideration by the Executive Committee, with the prior consent of the person(s) to be nominated. For each committee, the nominee(s) with the highest number of votes shall be elected as committee members. This Section D.1. shall not apply to the Executive Committee, the Committee on Appointments, the Committee on Undergraduate Studies or the Committee on Graduate Studies.
2. During the spring semester, each department shall hold its own election by secret ballot to elect from its department one tenured faculty member who has been a member of the faculty for at least three (3) years and who is not the department chair to serve as a member of the Executive Committee. Each department shall determine its own process for nominating candidates.

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3. During the spring semester, the Executive Committee shall appoint the members of the Committee on Appointments. The Executive Committee will seek from each department nominations of eligible faculty members to serve on the Committee on Appointments. The Executive Committee will appoint five members of the committee from among such nominees.

4. During the spring semester, each department shall hold its own election to elect from its department one faculty member to serve as a member of the Committee on Undergraduate Studies and one faculty member to serve as a member of the Committee on Graduate Studies. Each department shall determine its own process for nominating candidates.

5. During the spring semester, the Executive Committee shall appoint, from among its elected (*i.e.*, its non-*ex officio*) members, the chairs of each committee except for the Executive Committee and the Committee on Appointments.

6. The chair of the Executive Committee shall be elected annually by the committee from among its members no later than the committee's first meeting of the academic year. The outgoing chair of the Executive Committee shall call the meeting at which the new chair will be elected. The chair of the Executive Committee shall assume office on the date of his/her election as chair.

7. The chair of the Committee on Appointments shall be elected annually by the committee from among its members no later than the committee's first meeting each academic year. The Dean of Engineering shall call the meeting at which the new chair will be elected. The chair of the Committee on Appointments shall assume office on the date of his/her election as chair.

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8. New members of the standing committees and chairs of these committees, except for the chair of the Executive Committee and the chair of the Committee on Appointments, shall be announced at the last regular faculty meeting of the academic year. These persons shall assume office on July 1.

9. Chairs of each committee shall serve for one year as chairs.

Section E. Special Committees

The Executive Committee may at any time appoint a special committee to make recommendations to the Dean on any matter or matters within the jurisdiction of the faculty, provided that such matter or matters are not solely within the jurisdiction of any standing committee.

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ARTICLE VI —

COMPOSITION AND DUTIES OF FACULTY STANDING COMMITTEES

Section A. Executive Committee

Par. 1. The Executive Committee shall be composed of the following members, each of whom

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shall have a vote unless otherwise provided:

- a. The faculty members elected in accordance with Article V Section D.2;
- b. The secretary of the faculty, *ex officio*;
- c. The Dean of Engineering, *ex officio* without a vote;
- d. The immediate past chair of the Executive Committee, *ex officio* without a vote (who will serve on the Executive Committee for one year in such capacity); and
- e. The faculty senator representing the school on the Executive Committee of the Faculty Senate, *ex officio* without a vote.

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Par. 2. [Reserved]

Par. 3. The secretary of the faculty shall serve as secretary of the Executive Committee.

Par. 4. The Executive Committee shall hold meetings on dates to be determined by the chair who shall notify each member at least three (3) days before each meeting, specifying the time, the place and the agenda of the meeting. The Executive Committee shall meet at least once every month during the academic year.

Par. 5. The duties of the Executive Committee shall be:

- a. To determine immediate and long range matters demanding faculty study and action and to transmit such matters to the faculty after due consideration by appropriate standing or ad hoc committees;
- b. To determine and develop the charges for standing committees;
- c. To prepare the agenda for each faculty meeting;
- d. To coordinate full faculty debate of proposals for faculty action;
- e. To act as the nominating committee for the faculty;
- f. To review applications for sabbatical leaves, and prepare a recommendation concerning the merits of the proposal and the applicant's qualifications to undertake it (*Faculty Handbook*, Chapter 3, Part One, §II.A.9);
- g. To serve as an advisory body to the Dean, president, and board of trustees, including, but not limited to advising the Dean concerning the selection of department chairpersons, the appointment of special committees, and other matters that the Dean may deem appropriate; and
- h. To perform other duties as prescribed in these Bylaws and in the *Faculty Handbook*.

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Par. 6. In the pursuit of its duties, the Executive Committee may propose subjects for study to the appropriate standing committees, may appoint special committees, shall review committee

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progress, and the recommendations of all committees before their presentation to the faculty.

Par. 7. The Executive Committee shall prepare the agenda for all faculty meetings and include committee recommendations in writing together with a summary of the Executive Committee's opinion of the recommendations.

Par. 8. In its role as nominating committee, the Executive Committee shall:

- a. Nominate for election at the regular Spring meeting of the faculty the secretary of the faculty (when necessary).
- b. Nominate candidates to serve on standing committees in accordance with Article V Section D.
- c. As needed to fill expired terms, select members of the faculty to represent the school on the Faculty Senate Committee on Undergraduate Education.
- d. Prepare a slate for and supervise the election of faculty representatives for the University Faculty Senate. The slate shall contain twice the number of names to be elected, and the election shall be held in time to transmit its results to the Faculty Senate at a time specified by the secretary of the Faculty Senate.
- e. Fill any vacancies that may occur (other than by expiration of term) on standing committees of the School of Engineering or in the school's representatives to the Faculty Senate Committee on Undergraduate Education during the academic year. Each such vacancy shall be filled for the remainder of that academic year, and the remainder of the unexpired term shall be filled by the next election or appointment procedure.

Par. 9. At least every five years, the Executive Committee, in consultation with the Dean of Engineering and the Policy Committee, shall consider initiating and organizing a comprehensive review of academic, research, and administrative policies of the school.

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Section B. Committee on Appointments

Par. 1. The Committee on Appointments shall consist of five members of the faculty with the rank of professor, with tenure and without administrative appointment, who shall be selected in accordance with Article V Section D.

Par. 2. The Committee on Appointments shall hold meetings on dates to be determined by the chair, who shall notify each member at least three days before each meeting, specifying the time, the place and agenda of the meeting. The chair or his or her designate shall act as secretary, record the actions of all meetings, prepare all correspondence and keep the minutes of all meetings.

Par. 3. The Committee on Appointments shall consider and make recommendations to the Dean pertaining to:

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- a. All matters of tenure, promotion, or appointments to the ranks of associate professor and full professor,

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- b. All initial tenured appointments,
- c. All research professor and associate professor appointments, and
- d. All emeritus faculty appointments.

In addition, it shall consider and make recommendations to the Dean pertaining to the dismissal of tenured faculty members when permitted by the *Faculty Handbook*.

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Par. 4. Recommendations concerning promotion or tenure of a faculty member shall be prepared each year by the chair of each department in accord with the *Faculty Handbook* and shall be forwarded to the Dean of Engineering for transmission to the Committee on Appointments. The committee chair shall notify each department chair of the deadline for submission of recommendations at least four weeks in advance of the deadline. The committee shall prepare its recommendations concerning promotion or award of tenure of faculty members and forward the recommendations to the Dean of Engineering. If the Committee on Appointments does not support a department recommendation, or if it recommends action in the absence of department recommendation, it shall refer its recommendation to the appropriate department chair for advice and consultation for possible reconsideration by the Committee on Appointments before it forwards its recommendations to the Dean. All recommendations, positive and negative, shall be reported to the appropriate department chair.

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Par. 5. The Committee on Appointments shall recommend to the Executive Committee the approval of rules governing the procedures of the Committee on Appointments, and the approval of criteria for the recommendation of appointment, promotion, and tenure.

Par. 6. The Committee on Appointments shall review those untenured tenure-track faculty who are at the end of their third pretenure year. Recommendations concerning this review of a faculty member shall be prepared each year by the chair of each department in accord with the *Faculty Handbook* and shall be forwarded to the Dean of Engineering for transmission to the Committee on Appointments. The chair of the Committee on Appointments shall notify each department chair of the deadline for submission of recommendations at least four weeks in advance of the deadline. A written summary of all evaluations shall be communicated to the faculty member, the department chair, and the Dean.

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Section C. Committee on Undergraduate Studies

Par. 1. The Committee on Undergraduate Studies shall consist of one faculty representative from each department of the school elected pursuant to Article V Section D, and an undergraduate engineering student representative selected by the Undergraduate Student Government.

Par. 2. The Committee on Undergraduate Studies shall hold meetings on dates to be determined by the chair, who shall notify each member, the secretary of the faculty, and the office of the Dean of Engineering at least three days before each meeting, specifying the time, the place and the agenda of the meeting. The chair or the chair's designee shall act as secretary, record the actions of all meetings, prepare all correspondence and keep the minutes of all meetings. At least one meeting in the fall semester and in the spring semester shall be held jointly with the Committee on Graduate Studies.

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Par. 3. The Committee on Undergraduate Studies shall make recommendations to the faculty on matters pertaining to undergraduate education, including the requirements for all degree programs within the school, or undergraduate degree programs offered in conjunction with other units of the university. In addition, it shall participate with similar committees of other academic units of the university in setting general education criteria.

Par. 4. The Committee on Undergraduate Studies is authorized to:

- a. Review and recommend to the Dean of Engineering the addition or deletion of engineering undergraduate courses.
- b. Approve:
 - i. Minor or temporary changes in established undergraduate curriculum programs,
 - ii. Minor modifications in courses,
 - iii. Changes in the engineering core course list.
- c. Review and recommend to the faculty major changes in engineering curriculum programs, engineering core, and freshman/sophomore common core requirements.
- d. Initiate and formulate policy that will maintain and improve the standards and quality of undergraduate education in the school.
- e. As needed to fill vacancies, and in consultation with the Executive Committee, select members of the faculty to represent the school on the Faculty Senate Committee on Undergraduate Education Curriculum Subcommittee.

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Par. 5. The committee shall periodically review the Cooperative Education and Binary Programs, as they pertain to the school, and make recommendations concerning their operation.

Par. 6. The committee shall promote student professional development by providing special programs on professional ethics, professional registration and professional organizations.

Section D. Committee on Graduate Studies

Par. 1. The Committee on Graduate Studies shall consist of one faculty representative from each department of the school elected in accordance with Article V Section D, and an engineering graduate student representative selected by the Graduate Student Senate.

Par. 2. The Committee on Graduate Studies shall hold meetings on dates to be determined by the chair, who shall notify each member, the secretary of the faculty, and the office of the Dean of Engineering at least three days before each meeting, specifying the time, the place and the agenda of the meeting. The chair or the chair's designated shall act as secretary, record the action of all meetings, prepare all correspondence and keep the minutes of all meetings. At least one meeting in the fall semester and in the spring semester shall be held jointly with the Committee on Undergraduate Studies.

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Par. 3. The Committee on Graduate Studies shall recommend to the faculty matters pertaining to graduate education, including the requirements for all graduate degree programs within the school, or graduate degree programs offered in conjunction with other units of the university. In addition, it shall be charged with participating, as appropriate, with similar committees of other academic units of the university in setting general graduate education criteria.

Par. 4. The Committee on Graduate Studies is authorized to:

- a. Review and recommend to the Dean of Engineering the addition, deletion or significant modification of engineering graduate courses.
- b. Review any changes in graduate and professional program requirements and make recommendations to the faculty. Certify to the Dean of Engineering that graduate and professional programs meet the minimum requirements of the university and the school.
- c. Recommend to the Dean of Engineering, for consideration and transmittal to the Dean of Graduate Studies, appropriate action to be taken on student petitions for waiver of a regulation or any other request pertaining to his or her program of study and/or duties as a graduate student.
- d. Initiate and formulate policy that will maintain and improve the standards and quality of graduate education in the school.

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Dean of Engineering Section E. Committee on Research

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Par. 1. The Committee on Research shall consist of five voting faculty members elected in accordance with Article V Section D.

Par. 2. The Committee on Research shall hold meetings on dates to be determined by the committee chair, who shall notify each member, the secretary of the faculty, and the office of the Dean of Engineering at least three days before each meeting, specifying the time, the place and the agenda of the meeting. The chair or the chair's designee shall act as secretary, record the actions of all meetings and prepare all correspondence.

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Par. 3. The Committee on Research shall consider and recommend to the faculty matters pertaining to research (e.g. opportunities for research, the applications of research, research facilities, the organization and function of research day(s), special school-wide lectures and seminars).

Par. 4. The committee shall serve as liaison between the faculty and the research centers.

Par. 5. The committee shall organize and promote undergraduate research opportunities.

Section F. Committee on Budget

Par. 1. The Committee on Budget shall consist of three voting faculty members or four voting faculty members, in alternate years, elected in accordance with Article V Section D. The members of the Committee on Budget shall have overlapped terms, with one member being

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replaced each year.

Par. 2. The Committee on Budget shall hold meetings on dates to be determined by the committee chair, who shall notify each member, the secretary of the faculty (Article I), and the office of the Dean of Engineering at least three days before each meeting, specifying the time, the place and the agenda of the meeting. The chair or the chair's designee shall act as secretary, record the actions of all meetings and prepare all correspondence.

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Par. 3. Whenever there are three members of the Committee, there shall be a chair, vice chair and past chair. Whenever there are four members of the Committee, there shall be a chair, vice chair, past chair and past past chair. A newly elected member of the Committee shall (1) serve as vice chair during his/her first year on the Committee, (2) serve as chair during his/her second year on the Committee, (3) serve as past chair during his/her third year on the Committee, then (4) either (a) serve as past past chair if his/her past chair term expires in a year where a fourth Committee member is necessary, or (b) end his/her term on the Committee if his/her past chair term expires in a year where no fourth Committee member is necessary. The past chair shall be appointed to serve for two years (the first year as past chair and the second year as past past chair) as the Case School of Engineering's representative to the Faculty Senate Budget Committee (and thus, the University Budget Committee) in accordance with the rules of the Faculty Senate Budget Committee. (A new past chair will not be appointed to serve as representative until the completion of the term of his/her predecessor. Thus, not every past chair will serve on the Faculty Senate Budget Committee.)

Par. 4. The duties of the Committee on Budget shall be as follows:

- a. Consider and make recommendations to the faculty on matters pertaining to budget;
- b. Review the budget submission for the upcoming academic year and advise the Executive Committee and the administration of the Case School of Engineering (including the department chairs, the Dean and the budget office) on the adherence to budget priorities and the attainment of budgetary goals;
- c. Advise the faculty on the financial feasibility of the school's current and planned education programs, activities, and facilities, and their effect on the operating budget, capital requirements, and financial health of the Case School of Engineering;
- d. Advise the faculty on budgetary questions as they affect current and planned educational programs, activities, and facilities;
- e. Conduct a review of second quarter and fiscal year end budget operations;
- f. Review and provide advice to the Dean of Engineering and the Associate Dean Finance and Operations on financial implications of new initiatives presented to the school for consideration; and
- g. Review business operations of centers, clusters, and programs receiving financial support to provide recommendations on continuation or discontinuation. Such review shall occur every five years, and more often as needed (as determined by the committee or the Associate Dean Finance and Operations).

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ARTICLE VII — THE POLICY COMMITTEE: COMPOSITION AND DUTIES

Par. 1. The Policy Committee shall consist of all department chairs, the chair of the Executive Committee, the Dean of Engineering (who shall chair the committee), and any associate deans of the school.

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Par. 2. This committee shall set administrative policy for the school. Primary responsibility for educational policy will rest with the Executive Committee, Committee on Undergraduate Studies, Committee on Graduate Studies and the faculty.

Par. 3. Other duties of the Policy Committee shall include the following:

- a. Develop and coordinate graduate and undergraduate recruiting programs.
- b. Organize programs for faculty development and promote an active faculty awards program.
- c. Promote a program for the involvement of the Alumni and other interested friends in the school.

ARTICLE VIII — REPRESENTATION IN UNIVERSITY GOVERNANCE

The faculty shall be represented in university governance by the Dean of Engineering and by faculty members as they shall from time to time be selected to serve on university governing bodies.

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Section A. Representative Bodies

Vacancies in the faculty delegation to the respective organizations and committees shall be filled by the Executive Committee or, if the Executive Committee prefers, by elections supervised by the Executive Committee. If elections are required, they shall be carried out as follows: first, each department shall fill any vacancies that have occurred in its delegation; second, the Executive Committee shall prepare a slate for and conduct the election of the remaining members-at-large.

Section B. University Faculty Senate

Par. 1. The Faculty delegation to the University Faculty Senate shall be constituted in accordance with the *Faculty Handbook*.

Par. 2. Vacancies in the faculty delegation to the senate shall be filled by an election supervised by the Executive Committee in accordance with these bylaws.

ARTICLE IX — DEPARTMENTS

The tenured and tenure-track faculty of the school shall be grouped by departments, which will administer all degree programs. Non-tenure track and special faculty will be appointed in the departments or in the Division of Education and Student Programs.

Section A. Department Chairs

Par. 1. Each department shall have a chair, appointed by the president on the recommendation of the Dean of Engineering after consultation with the faculty members of the department. The chair shall report to the Dean of Engineering. The chair of the department shall serve for an initial appointment not to exceed five years and shall be eligible for reappointment to successive terms, each of which shall not exceed five years. The Dean of Engineering in consultation with the faculty shall review the performance of the department chairs no later than one year prior to the end of the appointment and no later than the third year of the appointment.

Par. 2. The chair shall be the executive officer of the department and shall assume leadership in matters of department policy, including appointments, promotions, instruction, research and administration in accord with the *Faculty Handbook*. The chair shall be responsible for the preparation of the department's budget subject to the approval of the Dean of Engineering and shall represent the department to other departments and to the officers of the administration. The chair shall convene all department meetings. The chair shall also, as necessary, appoint committees, delegate duties, and prepare teaching schedules after consultation with the faculty members of the department. The chair shall be the hiring officer for all non-academic personnel assigned to the department. The chair shall maintain records and conduct correspondence.

Section B. Departmental Meetings

The department faculty shall hold at least two meetings each semester during the academic year to assist the department chair in the duties listed in Section A and other matters of departmental policy and procedure.

Section C. The Division of Education and Student Programs

Par. 1. The mission of the Division of Education and Student Programs is to support - through teaching and educational research - the Case School of Engineering educational programs, student programs, and outreach activities at all academic levels: K-12, undergraduate, graduate, and continuing education.

Par. 2. An associate dean will serve as director of the division. An Advisory Board, consisting of one tenured or tenure-track faculty elected by each department, will meet bi-monthly to advise the director and will review the operation of the division annually. Members of the Advisory Board shall serve for a term of two years and may be re-elected without

limitation on the number of two-year terms (s)he may serve. The Advisory Board's duties shall include:

- a. In conjunction with the director of the division recommend to the Dean of Engineering the appointment or promotion of non-tenure track and special faculty to be based in the division. Following such recommendation, the appointment process will be the same as that used for non-tenure track or

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special faculty based in departments.

- b. In conjunction with the director of the division, review non-tenure track and special faculty in the same manner used for non-tenure track and special faculty based in departments.
- c. Provide consultation to the Dean on the appointment of an associate dean as director of the division.

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Par. 3. Faculty in the division may teach courses that are not discipline specific, but major and minor curricula are under the control of the departments. Faculty in the division may teach courses required by the degree programs (including engineering core courses) with the permission and under the supervision of the chairs of those departments. This would require a secondary appointment in the department housing that discipline. Faculty in the division may serve as academic advisors with the permission of the departments.

ARTICLE X — AMENDMENT

Par. 1. Any member of the faculty may submit a proposed amendment to these bylaws to the Executive Committee. The Executive Committee shall place it on the agenda of a regular or special meeting of the faculty. At least 14 days before the meeting at which it is to be discussed, the Executive Committee shall submit the proposal in writing to the faculty with arguments in support of and in opposition to the amendment as well as the Executive Committee's opinion of the proposal.

Par. 2. During discussion of proposed amendments at the faculty meeting, changes voted to be non-substantive in the proposed amendments may be made by majority vote of those present. A copy of any proposed amendment and a summary of the discussion will be sent to the faculty within one week of the faculty meeting, followed by electronic polling of the voting faculty. A majority of the eligible faculty must vote on the proposed amendment. Approval shall require an affirmative vote by three-fifths of those faculty members voting. At least two weeks shall be allowed between the solicitation of votes and the determination of results.

ARTICLE XI — FACULTY HANDBOOK

These By-laws shall be subject to the provisions of the Case Western Reserve University Faculty Handbook (the "Faculty Handbook"), as may be amended from time to time. In the event of any conflict between these By-laws and the Faculty Handbook, the Faculty Handbook shall control.

Chapter 2. Policies and Procedures for Faculty Appointments

The process of hiring a new faculty member involves a rigorous evaluation of the candidate to determine whether past performance demonstrates a pattern and level of excellence that predicts future success in research, teaching and service at the school. After the initial

appointment, all faculty members are required to complete annual activity reports and will receive annual evaluations focusing on the activities and accomplishments that contribute to what is valued in the performance of faculty of the school. An intensive third-year review is conducted for untenured faculty. The school will provide faculty with copies of the procedures used for the annual review, the three-year review and consideration for promotion or tenure.

ARTICLE I — POLICIES & STANDARDS FOR APPOINTMENT, REAPPOINTMENT, PROMOTION & TENURE

Section A. Qualifications

The evaluation of a faculty member in the Case School of Engineering for appointment, promotion, or award of tenure is governed by the policies and procedures set forth in the Case Western Reserve University *Faculty Handbook*. Chapter 3, Part One, §I.F.1 (Qualifications and Standards for Appointments, Reappointments, Promotions and Tenure) of the *Handbook* states:

The qualifications for faculty appointment and reappointment include the following, as appropriate to the type of appointment:

- (1) *An expert knowledge of his or her academic field and a commitment to continuing development of this competence;*
- (2) *A dedication to effective teaching;*
- (3) *A commitment to a continuing program of research or other advanced creative activity, including production of art or artistic performance, or, where more appropriate to the particular academic context, professional service activities; and*
- (4) *A willingness to assume a fair share of university administrative and service tasks.*

The standards for appointing faculty of various categories and ranks and for awarding promotion and tenure in the Case School of Engineering are predicated on these four qualifications, as described in the following sections.

Section B. Standards for Faculty Appointments

Par. 1. In the Case School of Engineering, faculty appointments may be made by category and rank as indicated in Table I.

TABLE I. Faculty of the Case School of Engineering by category, type, and rank

		Senior	Assistant	Associate	
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Category & type	Instructor	Instructor	Professor	Professor	Professor
Tenured/Tenure-Track			√	√	√
Non-Tenure-Track	√	√	√	√	√
Special:					
Research Faculty			√	√	√
Adjunct Faculty	√	√	√	√	√
Visiting Faculty	√	√	√	√	√
Secondary* Appointment	√	√	√	√	√
Lecturer					

*) Rank of secondary appointment may not be higher than that of the primary appointment.

Par. 2. Chapter 3, Part One, §I.F.2 of the *Handbook* states:

Faculty appointments with tenure or without tenure but leading to consideration for tenure should be based on evidence that the candidate can and will continue to satisfy all of the [four abovementioned] qualifications. Faculty appointments on the non-tenure track should be based on evidence that the candidate can and will continue to satisfy item (1) and two of items (2), (3), and (4) of the foregoing qualifications. Special faculty appointments should be based on evidence that the candidate can and will continue to satisfy item (1) and one of items (2), (3), and (4) of the foregoing qualifications.

Par. 3. For all faculty appointments and promotions in the Case School of Engineering, external letters of reference from experts in the field comprise a major source of evidence of the candidate's expert knowledge in the field. Course evaluations and letters of reference from former students should be used, whenever possible and when appropriate to the appointment being considered, for evidence of dedication to effective teaching. Additional standards by which qualifications (1) through (4) will be evaluated as appropriate to the rank and category under consideration with respect to the appointment, reappointment, and promotion of faculty are described in this section.

Par. 4. *Visiting faculty* belong to the category of special faculty and can be appointed at the ranks of instructor, senior instructor, assistant professor, associate professor, and professor. The standards for appointment, reappointment, and promotion of visiting faculty will be evaluated as listed in Table II for special faculty at the corresponding ranks, or as described below for lecturers, instructors, and senior instructors.

Par. 5. *Lecturers* belong to the category of special faculty. As the primary role of lecturers is teaching, only qualifications 1 and 2 apply to the standards for their appointment and reappointment and will be evaluated per the following standards:

Earned master's degree in a field of engineering or related science, or an earned bachelor's degree in a field of engineering or related science with substantial professional engineering experience. A person with exceptional qualifications may be considered for appointment to the rank of Lecturer without a degree. (1)

Evidence of pedagogical abilities relevant to engineering education (2)

Par. 6. The rank of *instructor* can be used for non-tenure track faculty, adjunct faculty, visiting faculty, and faculty with secondary appointments. Qualifications 1 and 2 apply to the standards for the appointment and reappointment for all instructors and will be evaluated per the following standards:

Earned master's degree in field of engineering or related science (1)

Evidence of pedagogical abilities relevant to engineering education (2)

In addition, for non-tenure track faculty with the rank of instructor, qualification 4 applies to the standards for their appointment and reappointment and will be evaluated per the following standard:

Willingness to assume service and administrative tasks at the levels of the department, school, or university (4)

Par. 7. The rank of *senior instructor* can be used for non-tenure track faculty, adjunct faculty, visiting faculty, and faculty with secondary appointments. Qualifications 1 and 2 apply to the standards for the appointment and reappointment for all senior instructors and will be evaluated per the following standards:

Earned master's degree in field of engineering or related science (1)

Demonstrated major role in teaching (2)

In addition, for non-tenure track faculty with the rank of senior instructor, qualification 4 applies to the standards for their appointment and reappointment and will be evaluated per the following standard:

Significant participation in service and administrative tasks at the levels of the department, school, or university (4)

Par. 8. With regard to their appointment and reappointment at the ranks of *assistant professor*, *associate professor*, and *professor*, Table II lists standards by which qualifications (1) through (4) will be evaluated for tenured, tenure-track, non-tenure track, and special faculty. In the case of appointment at the rank of Research Professor or Adjunct Professor, the requirement of a Ph.D or other terminal degree may be waived for a person with exceptional qualifications.

Par. 9. In the Case School of Engineering, appointments at the level of assistant professor will focus on the candidate's *potential* for meeting the requirements for the ranks of associate professor and professor. Appointments at the level of associate professor will be based on the candidate's *performance*. Appointments at the level of professor will be based on the candidate's demonstrated *leadership*. These criteria are described more fully in Table II. For initial appointments to individuals whose professional experience has been primarily in non-academic settings, evidence of skills that are comparable to those needed for academic teaching, advising, mentoring, and service may be taken into consideration for the purpose of determining the appropriate rank of the appointment.

TABLE IIa

<p>Tenure Track <i>(Qualifications 1-4 apply)</i></p>	<p>Non-Tenure Track & Special (where rank is applicable) <i>(Qualification 1 applies to all. At least two of qualifications 2, 3, & 4 apply to non-tenure track; at least one applies to special)</i></p>
<p><u>ASSISTANT PROFESSOR</u> Earned doctorate in a field of engineering or related science (1) Promise for achieving recognition in a field of engineering (1) Potential for effective teaching (2) Clear plan for a program of research and evidence of excellence and productivity in research (3) Willingness to assume university service and administrative tasks (4)</p>	<p><u>ASSISTANT PROFESSOR</u> Earned doctorate in a field of engineering or related science (1) Potential for effective teaching (2) Evidence of high quality and productivity in research (3) Willingness to assume university service and administrative tasks (4)</p>

TABLE IIb

Tenured & Tenure Track <i>(Qualifications 1-4 apply)</i>	Non-Tenure Track & Special <i>(Qualification 1 applies to all. At least two of qualifications 2, 3, & 4 apply to non-tenure track; at least one applies to special)</i>
<p><u>ASSOCIATE PROFESSOR</u></p> <p><i>Achieving this rank requires continued fulfillment of all criteria at the assistant professor level, with the addition of the following:</i></p> <p>Achieved recognition as an expert in a field of engineering (1)</p> <p>Demonstrated excellence in teaching, academic advising, and student development as evidenced by course evaluations, student testimonials, course or curricular development, or other contributions to engineering education (2)</p> <p>Established research program leading to significant contributions to a field of engineering as evidenced by professional presentations, monographs, reports, papers, articles, book chapters or books, activities in workshops, institutes, seminars, advisory panels, etc. (3)</p> <p>Effectiveness in mentoring undergraduate and graduate students in research as evidenced by directing undergraduate student projects and serving as primary research advisor for M.S. and Ph.D. students (3)</p> <p>Participation in university service and administrative roles, such as committee membership, interdisciplinary proposals developed, and university leadership positions (4)</p>	<p><u>ASSOCIATE PROFESSOR</u></p> <p><i>Achieving this rank requires continued fulfillment of the applicable criteria (per the terms of appointment) at the assistant professor level, with the addition of the following:</i></p> <p>Achieved recognition as an expert in a field of engineering (1)</p> <p>Demonstrated excellence in teaching as evidenced by course evaluations, student testimonials, course or curricular development, or other contributions to engineering education (2)</p> <p>Demonstrated capability of establishing and guiding an externally funded research program (3)</p> <p>For faculty who serve as primary research advisors: effectiveness in mentoring undergraduate and graduate students in research (3)</p> <p>Participation in university service and administrative roles as evidenced by committee membership, interdisciplinary proposals developed, and university leadership positions (4)</p>

TABLE IIc

Tenured & Tenure Track <i>(Qualifications 1-4 apply)</i>	Non-Tenure Track & Special <i>(Qualification 1 applies to all. At least two of qualifications 2, 3, & 4 apply to non-tenure track; at least one applies to special)</i>
<p style="text-align: center;"><u>PROFESSOR</u></p> <p><i>Achieving this rank requires continued fulfillment of all criteria at the associate professor level, with the addition of the following:</i></p> <p>Recognized leadership in a specific area of engineering (1)</p> <p>Consistent record of excellence in teaching, program development, and mentoring of students (2)</p> <p>Develop, sustain and lead a nationally and internationally recognized research program (3)</p> <p>Continued development of young researchers as evidenced, for example, by a number of students having graduated with Ph.D. degrees (3)</p> <p>Major role and recognized leadership in key school, university, and professional committees or initiatives, e.g. serving as committee chairperson or other advanced positions of service, preparation of concept or position papers, administrative leadership activities and accomplishments (4)</p>	<p style="text-align: center;"><u>PROFESSOR</u></p> <p><i>Achieving this rank requires continued fulfillment of the applicable criteria (per the terms of appointment) at the associate professor level, with the addition of the following:</i></p> <p>Recognized leadership in a specific area of engineering (1)</p> <p>Consistent record of excellence in teaching, program development, and mentoring of students (2)</p> <p>Demonstrated capability of establishing and guiding a nationally/internationally recognized research program (3)</p> <p>Major role and recognized leadership in key professional committees or initiatives, e.g. by assuming positions within the university, preparation of concept or position papers, administrative leadership activities and accomplishments (4)</p>

Section C. Standards for Tenure

Par. 1. In the Case School of Engineering (CSE), tenured and tenure-track faculty are valued for their contributions to society through excellence in education; student development, engagement, and partnership; leadership in research; service to the profession; support of the institution through service and visibility; and professionalism through collegiality, mentorship, and ethical practice.

Par. 2. Chapter 3, Part One, §I.F.3 (Qualifications and Standards for Appointments, Reappointments, Promotion and Tenure) of the *Faculty Handbook* states:

In general, criteria for awarding tenure shall include, at a minimum, a documented national or international reputation for sustained scholarship, as appropriate to faculty rank and discipline.

§I.F.7 states:

Tenure is awarded to a faculty member only when the University foresees for him or her a continuing fulfillment of the [four] qualifications presented above.

In the Case School of Engineering, appointments of new faculty with tenure at the ranks of Associate Professor or Professor will also require evidence of excellence in teaching ability.

Par. 3. The award of tenure is based primarily on assessment of a candidate's documented past contributions and potential for future growth in the areas of teaching, research, and professional service. In this research-intensive university, excellence in research and potential for leadership are expected. In addition, University faculty are distinguished by their strong contributions to the teaching mission of the University. However, it is recognized that the level and significance of the contributions in the separate areas will differ from individual to individual. In all cases, however, an award of tenure will only be made to faculty whose overall accomplishments and potential for continued professional growth are judged to be significant, and competitive at the national and international levels.

Par. 4. Examples of measures indicating past success and future potential include, but are not limited to:

- Evidence of effective teaching, advising, and mentoring of students
- Development of new courses and innovative teaching methods
- Evidence of external impact on engineering education
- Publications in peer-reviewed journals of record
- Peer-reviewed publications in archival meeting proceedings
- Citations to published articles
- Organization of national and international symposia
- Invited lectures before external organizations
- National and international honors and awards for research, teaching, and professional service
- Principal investigator status on externally funded research grants and contracts

- Development of collaborative research efforts
- Departmental and university service
- Service in national and international professional organizations

Section D. Tenure Policies

Par. 1. Each faculty member whose appointment leads to tenure consideration shall be considered for tenure no later than six years after the date of initial appointment, *i.e.*, in the sixth year.

Par. 2. Service at other institutions may be taken into consideration in establishing the length of a faculty member’s pre-tenure period. Such consideration must be made a written part of the initial appointment.

Par. 3. Under exceptional circumstances, an extension of the pre-tenure period may be made as provided in the *Faculty Handbook*.

Par. 4. If tenure has not been awarded by the end of the pre-tenure period, the normal procedure shall be that the faculty member is given a one-year terminal appointment.

Par. 5. Renewable faculty term appointments may be made beyond the end of the pre-tenure period upon mutual agreement of the department chair, the Dean of Engineering, and the faculty member. Such appointments shall be conditional on at least the following two items:

- a. The appointment will not lead to tenure consideration.
- b. The appointment is contingent upon full support from non-university resources.

Par. 6. Tenure for faculty in the Case School of Engineering resides at the level of the constituent faculty, not in individual departments.

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ARTICLE II — NON-TENURE TRACK FACULTY

Section A. Policies

Par. 1. DEFINITION, RANKS, AND QUALIFICATIONS. Non-tenure track faculty members are those persons holding full-time academic appointments at the ranks of professor, associate professor, assistant professor, senior instructor and instructor whose obligations to the University include two of the three obligations of the tenured/tenure track faculty, *i.e.* 1) teaching, 2) research and scholarship or 3) service to the University community. The appropriate rank is based on the individual’s qualifications and experience relative to tenured/tenure track faculty at similar ranks, as set forth in Article I, “Policies & Standards for Appointment, Reappointment, Promotion & Tenure.” Non-tenure track faculty are covered by the provisions of the *Faculty Handbook*, unless specifically excluded.

Par. 2. PURPOSE. The appointment of a non-tenure track faculty member is intended to add expertise to the school in all of its academic endeavors of teaching and scholarly work.

Par. 3. APPOINTMENTS

- a. The appointment of a non-tenure track faculty member must be initiated by and based in a department of the School or in the Division of Education and Student Programs. The appointment of a non-tenure track faculty member requires approval by a majority of the tenured/tenure track faculty of the department, or, if the appointment is in the Division of Education and Student Programs, by the advisory board and the director of the division. At no time shall the total number of non-tenure track faculty members exceed 25% of the total voting faculty of the school.
- b. The proposed rank of a non-tenure track faculty member requires approval by a majority of the tenured/tenure track faculty of equal rank or higher within the department, or, if the appointment is in the Division of Education and Student Programs, within the advisory board and the director of the division.
- c. The Committee on Appointments shall review and forward to the Dean of Engineering a recommendation on new non-tenure track faculty appointments at the rank of Associate Professor or Full Professor. The appointment of a non-tenure track faculty member shall be evaluated based on the candidate's competence in two of the three areas of obligation listed above.
- d. The Dean of Engineering shall review all non-tenure track faculty appointments. If the Dean approves the appointment, the Dean shall forward the recommendation to the provost.
- e. Non-tenure track appointments shall normally be made for a term of one to three years and may be renewed. Regardless of when the appointment begins, every non-tenure track appointment term shall have an end date of June 30th.
- f. All offers of appointment shall be issued by the office of the Dean of Engineering.
- g. A non-tenure track faculty member's compensation must be arranged prior to the beginning of the appointment and approved by the department chair, or if the appointment is in the Division of Education and Student Programs, by the director of the division, and the Dean of Engineering. The annual salary of a full-time non-tenure track faculty member shall remunerate service for an academic year of approximately nine months or for a longer period.

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Par. 4. EVALUATION AND PROMOTION

- a. Non-tenure track faculty shall be evaluated annually by the department chair, or, if the appointment is in the Division of Education and Student Programs, by the advisory board and the director of the division in a manner similar to

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that used for tenured/tenure track faculty.

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- b. The annual evaluation and recommendation for salary shall be forwarded by the department chair, or, if the appointment is in the Division of Education and Student Programs, by the director of the division to the Dean of Engineering.
- c. A department's recommendation for promotion shall be made by the department chair after a vote of the tenured/tenure-track department faculty of equal or higher rank, or, if the appointment is in the Division of Education and Student Programs, by the director of the division after a vote of the members of the advisory board of equal or higher rank. For promotion above the assistant professor rank, this recommendation is then forwarded to the Committee on Appointments. After review, the Committee on Appointments shall forward its recommendation to the Dean of Engineering. After review, the Dean of Engineering shall add his or her recommendation and forward all recommendations to the Provost.

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Par. 5. TERMINATION

- a. A decision not to reappoint a non-tenure track faculty member beyond his or her current appointment term shall be communicated to him or her in writing by the department chair, or, if the appointment is in the Division of Education and Student Programs, by the director of the division, with a copy sent to the Dean of Engineering in accordance with the schedule in the *Faculty Handbook*, Chapter 3, Part One, §I.K.
- b. Failure of the University, *i.e.* the department chair, director of the Division of Education and Student Programs, or the Dean of Engineering, to provide notice of the intention not to reappoint a non-tenure track faculty member according to the schedule in the *Faculty Handbook*, Chapter 3, Part One, §I.K. shall entitle the non-tenure track faculty member to an additional one-year reappointment.
- c. For purposes of this section, an academic year appointment shall be considered to expire on June 30.
- d. In addition to insufficient academic credentials or performance or grave misconduct or neglect of academic responsibility, the causes for which a term appointment may not be renewed are changes in academic programs, financial constraints, tenured/non-tenured faculty ratios, or other reasons.
- e. If requested by the faculty member, the University, *i.e.* the chair, the director of the Division of Education and Student Programs, or the Dean, shall provide written explanation for the non-renewal of a term appointment.
- f. An appointment may be terminated during the current term, without the notice set out in Par. 6.a., for just cause, as set out in Chapter 3, Part One, §I.E.3 of the *Faculty Handbook*.

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Par. 6. RIGHTS AND RESPONSIBILITIES

- a. As permitted by the *Faculty Handbook*, non-tenure track faculty members shall be entitled to vote on all matters coming before the University faculty.
- b. Non-tenure track faculty members may attend meetings of the Engineering faculty, but (per the bylaws of the School) are not entitled to vote.
- c. The two of the three areas (teaching, research and service) for which the non-tenure track faculty has obligations must be determined at time of appointment. A change of the two areas must be approved by the chair and shall require reappointment.
- d. Non-tenure track faculty members can engage in academic advising of students or any other University service functions, contingent on the approval of the department chair, and, if the appointment is in the Division of Education and Student Programs, by the director of the division.
- e. Non-tenure track faculty members may serve as thesis advisors of graduate students and may be voting members of thesis committees.
- f. Non-tenure track faculty members may submit external research proposals serving as the principal or co-principal investigator, subject to University policies.

Section B. Procedures

Par. 1. Departments must submit a completed Case School of Engineering Appointment Form and a current CV for each new appointment and reappointment, together with other supporting documentation as detailed in the School's appointment procedures.

Par. 2. Departmental recommendations shall be made by the chair after a vote by the eligible members of the department, including those on leave of absence or, if the appointment is in the Division of Education and Student Programs, by the director of the division after a vote by the eligible members of the advisory board.

Par. 3. Departments must prepare and submit the appropriate affirmative action paperwork, prior to recommending a new appointment.

Par. 4. Annual performance reviews shall be completed for all incumbents using the school Faculty Activity Report, prior to processing the annual faculty reappointment form.

Par.5. Non-tenure track faculty members shall receive an appointment letter upon their initial appointment. Subsequent reappointments may be made using the faculty appointment form.

ARTICLE III — RESEARCH FACULTY

Section A. Policies

Par. 1. CATEGORY. Research Faculty are members of the faculty of the school under the category of special faculty members. Special faculty are covered by the provisions of the *Faculty Handbook* except where provisions of the *Faculty Handbook* exclude application of a provision to special faculty.

Par. 2. PURPOSE. The appointment of a research faculty member is intended to add expertise to the School in its research endeavors.

Par. 3. APPOINTMENTS

- a. The appointment of a research faculty member must be initiated by and based in a department of the School, or in the Division of Education and Student Programs. The appointment of a research faculty member requires approval by a majority of the tenured/tenure track faculty of the department, or, if the appointment is in the Division of Education and Student Programs, by the advisory board and the director of the division.
- b. The proposed rank of a research faculty member requires approval by a majority of the tenured/tenure track faculty of equal rank or higher within the department, or if the appointment is in the Division of Education and Student Programs, within the advisory board and the director of the division.
- c. The Committee on Appointments shall review and forward to the Dean of Engineering a recommendation on new research faculty appointments at the rank of Associate Professor or Full Professor. The appointment of a research faculty member shall be evaluated based on the candidate’s research competence.
- d. The Dean of Engineering shall have final approval of all research faculty appointments.
- e. All offers of appointment for research faculty shall be issued by the office of the Dean of Engineering.
- f. Research faculty member appointments shall be made for a specific period of time, not to exceed one year, and may be renewed.
- g. A research faculty member’s compensation is contingent on the availability of external support. Financial compensation for a research faculty member must be arranged prior to the beginning of the appointment and approved by the department chair, or if the appointment is in the Division of Education and Student Programs by the director of the division, and the Dean of Engineering.

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Par. 4. QUALIFICATIONS

- a. A research faculty member shall be appointed as Research Professor, Research Associate Professor, or Research Assistant Professor and shall have research experience and qualifications comparable to those of tenured/tenure track faculty at the corresponding ranks, as set forth in Article I, "Policies and Standards for Appointment, Reappointment, Promotion & Tenure."
- b. A Research Professor shall have completed the Ph.D. (or other terminal degree), have recognized leadership and a consistent record of excellence in a specific area of engineering, and show a commitment to the continuing development of his or her research competencies. A Research Professor shall also have a commitment to a continuing contribution to the academic objectives of the program, the School, and the University.
- c. A Research Associate Professor shall have completed the Ph.D. (or other terminal degree), achieved recognition as an expert in a field of engineering, conducted research or other relevant experience leading to significant contributions to a field of engineering, and demonstrate clear promise of meeting the standards for promotion to the rank of Research Professor.
- d. A Research Assistant Professor shall have completed the Ph.D. (or other terminal degree), have demonstrated a) excellence and productivity in research, including the ability to generate outside funding, b) the ability to mentor graduate students, and c) clear promise of meeting the standards for promotion to the rank of Research Associate Professor.

Par. 5. EVALUATION AND PROMOTION

- a. Research faculty members shall be evaluated annually by the department chair, or, if the appointment is in the Division of Education and Student Programs, by the director of the division, in a manner similar to that used for tenured/tenure track faculty.
- b. The annual evaluation and recommendation for salary shall be forwarded by the department chair, or, if the appointment is in the Division of Education and Student Programs, by the director of the division, to the Dean of Engineering.
- c. A department's recommendation for promotion shall be made by the department chair after a vote of the tenured/tenure track department faculty of equal or higher rank, or, if the appointment is in the Division of Education and Student Programs, by the director of the division after a vote of the members of the advisory board or equal or higher rank. For promotion above the assistant professor rank, this recommendation is then forwarded to the Committee on Appointments. After review, the Committee on Appointments shall forward its recommendation to the Dean of Engineering. The Dean of Engineering shall make the ultimate decision regarding all promotions.

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Par. 6. TERMINATION

- a. If reappointment is not made, employment shall terminate at the end of the current appointment term. If possible, the department chair, or, if the appointment is in the Division of Education and Student Programs, the director of the division, shall notify the research faculty member in advance of the current appointment end date that reappointment shall not be made.
- b. Research faculty appointments may be terminated prior to the end of the current appointment term (1) for just cause using the same definition which applies to the University faculty in the *Faculty Handbook*, Chapter 3, Part One, §I.E.3.; (2) for failure to meet the performance standards applicable to the research faculty member’s current rank; or (3) lack of funds to support the appointment.
- c. As referenced in Par. 3.g., a research faculty member’s compensation is contingent upon the availability of external support. It is the responsibility of the department chair, or, if the appointment is in the Division of Education and Student Programs, the director of the division, to notify the appointee, the office of the Dean of Engineering and the Office of Human Resources in a timely manner if a research faculty member’s compensation must be terminated due to lack of funds.
- d. Research faculty members shall not be entitled to severance pay.

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Par. 7. RIGHTS AND RESPONSIBILITIES

- a. A research faculty member does not have the teaching responsibilities required of a tenured/tenure track faculty member.
- b. A research faculty member may serve as a guest lecturer, but cannot be the instructor of record for regular undergraduate or graduate courses. With the approval of the department chair (or the director of the Division of Education and Student Programs if the appointment is in this division) and the Dean of Engineering, a research faculty member may supervise independent study courses or teach advanced-level graduate seminar courses.
- c. A research faculty member is expected to submit external proposals, serving as the principal investigator, and is expected to build a funded research program capable of supporting the research faculty member’s salary, research, and graduate students.
- d. A research faculty member cannot engage in academic advising of students or any other University service functions on a regular basis.
- e. A research faculty member is expected to serve as research advisor for graduate students. A research faculty member can be a voting member of

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thesis committees. However, the student’s academic advisor must be a tenured or tenure track faculty member.

- f. A research faculty member may be invited to meetings of the tenured/tenure track faculty, but shall not have the privilege of voting.

Section B. Procedures

Par. 1. Departments must submit a completed Case School of Engineering Appointment Form and a current CV for each new appointment and reappointment of research faculty, together with other supporting documentation as detailed in the School’s appointment procedures. The office of the Dean of Engineering will not routinely check the availability of funding for a research faculty appointment. It is assumed that in signing the paperwork, the department chair, or, if the appointment is in the Division of Education and Student Programs, the director of the division, is certifying that sufficient funding is available.

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Par. 2. Departments must prepare and submit the appropriate affirmative action paperwork, prior to recommending a new appointment.

Par. 3. Annual performance reviews shall be completed for all incumbents using the school Faculty Activity Report, prior to processing the annual faculty reappointment form.

Par. 4. Research faculty members shall receive an appointment letter, including the term of the appointment, upon their initial appointment. The letter of appointment shall state that the appointment is subject to the policies and procedures set forth in this document. Subsequent reappointments may be made using the faculty appointment form.

ARTICLE IV — SECONDARY APPOINTMENTS

Section A. Policies

Par. 1. ELIGIBILITY. Faculty with secondary appointments must have a primary faculty appointment in another department in the University and thus are members of the faculty of the University and also the school, depending on the location of their primary appointment. As such, faculty with secondary appointments are governed by the *Faculty Handbook*.

Par. 2. PURPOSE. Faculty with secondary appointments are intended to add expertise to the school in all of its academic endeavors of teaching and scholarly work.

Par. 3. APPOINTMENTS

- a. Secondary appointments may be made at the ranks of Instructor, Senior Instructor, Assistant Professor, Associate Professor, and Professor, based on criteria described in Article I, “Policies and Standards for Appointment, Reappointment, Promotion & Tenure.” Secondary appointments are designated for persons who hold primary faculty appointments within the

University. No faculty member may hold a secondary appointment at a rank higher than the rank of the primary appointment. Secondary appointments are considered to be part-time. Compensation may or may not be involved. If compensation is to be made, a transfer of funds between departments or schools may be arranged. There is no additional compensation paid directly to the individual.

b. Secondary appointments must be initiated by and based in a department of the School, or in the Division of Education and Student Programs. Secondary appointments require approval by a majority of the tenured/tenure track faculty of equal or higher rank within a department, or, if the appointment is in the Division of Education and Student Programs, by the advisory board and the director of the division. Secondary appointments also require the approval of the chair and dean (if another school) of the primary department or school.

c. The Dean of Engineering shall review and make final decisions regarding all secondary appointments of faculty within the school.

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d. The Dean of Engineering shall review and recommend to the Provost all secondary appointments for faculty whose primary appointments are in another school.

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e. All offers of appointment shall come from the office of the Dean of Engineering.

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f. Secondary appointments shall be made for a specific period of time, not greater than one fiscal year. Re-appointments may be issued on an annual basis, subject to the approval of the secondary department, or, if the appointment is in the Division of Education and Student Programs, by the advisory board and director of the division, and the Dean of Engineering, and the Provost if required under Par. 3.d.

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Par. 4. TERMINATION

a. If reappointment of a secondary appointment is not made, the secondary appointment shall terminate at the end of the current appointment term.

b. When a faculty member vacates a primary appointment, the secondary appointment shall terminate at the same time.

Par. 7. RIGHTS AND RESPONSIBILITIES

a. Faculty with secondary appointments may teach, contingent on the approval of the secondary department chair, and, if the appointment is in the Division of Education and Student Programs, by the director of the division, the Dean of Engineering, and the primary department chair.

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- b. Faculty with secondary appointments may engage in academic advising or any other functions of the school.
- c. Faculty with secondary appointments may serve as thesis advisors of graduate students and may be voting members of thesis committees.
- d. Faculty with secondary appointments may submit external research proposals serving as principal or co-principal investigators, subject to University policies. It is expected that faculty with secondary appointments will submit proposals through the department or school where they hold their primary appointment.
- e. Faculty members holding only secondary appointments in the school may be invited to meetings of the regular faculty, but shall not have the privilege of voting.

Section B. Procedures

Par. 1. Departments must submit a completed Case School of Engineering Appointment Form and a current CV for each new appointment or for each occasion when approval is sought for a faculty member with a secondary appointment to teach, together with other supporting documentation as detailed in the School's appointment procedures.

Par. 2. Faculty with secondary appointments shall receive an appointment letter with their initial appointment. The letter of appointment shall state that the appointment is subject to the policies and procedures set forth in this document. Subsequent re-appointments may be made using the faculty appointment form.

ARTICLE V — ADJUNCT FACULTY APPOINTMENTS

Section A. Policies

Par. 1. CATEGORY. Adjunct faculty are members of the University faculty of the School under the category of special faculty members. Special faculty members are covered by the provisions of the *Faculty Handbook* except where provisions of the *Faculty Handbook* exclude application of a provision to special faculty.

Par. 2. PURPOSE. The appointment of Adjunct faculty is intended to add expertise to the school in all of its academic endeavors of teaching and scholarly work.

Par. 3. APPOINTMENTS

- a. Adjunct faculty may be appointed at the ranks of Adjunct Instructor, Adjunct Senior Instructor, Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor. The appropriate rank is based on the individual's qualifications and experience relative to tenured/tenure track faculty at similar ranks, as described in Article I, "Policies and Standards for Appointment,

Reappointment, Promotion & Tenure.” The title is used for individuals who hold primary staff or administrative positions within the University or for individuals whose primary appointments are held outside the University. Adjunct faculty appointments are considered part-time (less than 50% time) and do not normally provide compensation to the appointee unless the appointee serves as a guest lecturer or teaches undergraduate or graduate courses with approval of the Dean of Engineering. Compensation for such activities shall be determined by the department chair and the Dean of Engineering, and shall be commensurate with the responsibilities.

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b. The appointment of an adjunct faculty member must be initiated by and based in a department of the School, or in the Division of Education and Student Programs. The appointment of an adjunct faculty member requires approval by a majority of the tenured/tenure track faculty of equal or higher rank within the department requesting the appointment, or if the appointment is in the Division of Education and Student Programs, by the advisory board and the director of the division.

c. The Dean of Engineering shall review and make final decisions regarding all adjunct appointments.

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d. All offers of appointment shall come from the office of the Dean of Engineering.

e. Adjunct appointments shall be made for a specific period of time, not greater than one fiscal year. If recommended by the department, or, if the appointment is in the Division of Education and Student Programs, by the advisory board and the director of the division, and the Dean of Engineering, reappointments may be issued on an annual basis.

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Par. 4. TERMINATION

- a. If reappointment is not made, the appointment shall terminate at the end of the current appointment term.
- b. Adjunct faculty appointments may be terminated prior to the end of the current appointment term for (1) just cause using the same definition which applies to University faculty in the *Faculty Handbook*, Chapter 3, Part One, §I.E.3; (2) for failure to meet the standards applicable to the appointment; or (3) for lack of funding to support the appointment.
- c. Adjunct faculty are not entitled to severance pay.

Par. 5. RIGHTS AND RESPONSIBILITIES

a. Adjunct faculty may teach, contingent on the approval of the department chair, and, if the appointment is in the Division of Education and Student Programs, by the director of the division, and the Dean of Engineering.

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- b. Adjunct faculty cannot engage in academic advising of students or any other University service functions on a regular basis.
- c. Adjunct faculty may serve as thesis advisors of graduate students and may be voting members of thesis committees.
- d. An adjunct faculty member may not serve as principal or co-principal investigator on externally funded research proposals, but may serve as a consultant when the principal investigator is a faculty member of the department.
- e. Adjunct faculty members may be invited to meetings of the tenured/tenure track faculty, but shall not have the privilege of voting.

Section B. Procedures

Par. 1. Departments must submit a completed Case School of Engineering Appointment Form and a current CV, together with other supporting documentation as detailed in the School's appointment procedures, for each new appointment or for each occasion when approval is sought for an adjunct faculty member to teach.

Par. 2. Adjunct faculty members shall receive an appointment letter with their initial appointment. The letter of appointment shall state that the appointment is subject to the policies and procedures set forth in this document. Subsequent re-appointments may be made using the faculty appointment form.

Verification of Faculty Credentials Policy: Recommendation of the Committee on Faculty Personnel, 11-02-17

In response to the 10-20-17 charge from the Executive Committee, the FS Committee on Faculty Personnel recommends the following revision to the Verification of Faculty Credentials Policy.

We were asked to consider: 1) why the policy addresses tenured/tenure-track faculty and non-tenure-track faculty separately, and whether this should be revised; and 2) whether tenured/tenure-track faculty holding or seeking a secondary or joint appointment should be exempted from verification of credentials as outlined in the policy.

In response to the first question, the committee recommends no change. The existing policy makes a distinction between the two categories of faculty because it is meant to apply globally to non-tenure-track faculty, but only under certain circumstances to tenured/tenure-track faculty. The committee agreed that this made sense, since verification of credentials and of disciplinary expertise is part of the hiring process for tenured/tenure-track appointments. In response to the second question, we recommend the revision below. The intention of the proposed revision is to exempt (from verification of credentials as outlined in the policy) tenured/tenure-track faculty holding or seeking a secondary or joint appointment. The committee agreed that a secondary/joint appointment should itself be considered recognition of a faculty member's qualifications to teach in a given field.

The proposed revision, in bold, would apply to the second paragraph under SCOPE:

"In addition, the policy applies to tenured/tenure-track faculty members who are being considered for teaching a course outside **any department (or constituent faculty, in a school not organized into departments) in which they hold an appointment (primary, secondary, or joint)**, or outside the field in which they received their terminal degree."

Verification of Faculty Credentials Policy

POLICY

It is the policy of Case Western Reserve University that individuals teaching at the graduate level shall have done one or more of the following:

- Earned a terminal degree in (or the highest degree appropriate to) the academic field related to the intended teaching assignment.
- Provided evidence of appropriate professional experience equivalent to such degree.
- Provided evidence of tested experience appropriate to the specific teaching assignment.

Furthermore, it is the policy of Case Western Reserve University that individuals teaching at the undergraduate level shall have done one or more of the following:

- Earned a minimum of a master's degree (or can demonstrate the equivalent level of training) in an academic field related to the intended teaching assignment.
- Earned a minimum of a master's degree (or can demonstrate the equivalent level of training) in an academic field outside of the intended teaching assignment and has completed at least 18 credit hours at the graduate level in the discipline of the intended teaching assignment.
- Provided evidence of appropriate professional experience equivalent to such degree.
- Provided documentation of tested experience appropriate to the specific teaching assignment.

Guidance regarding these criteria is contained in the Higher Learning Commission document (http://download.hlcommission.org/FacultyGuidelines_2016_OPB.pdf) "Commission Guidance on Determining Qualified Faculty." If the guidelines of school-level or program-level accrediting bodies require higher standards on faculty qualifications than specified in this policy, the faculty qualifications guidelines of that specialized accrediting body take precedence.

SCOPE

This policy applies to all individuals who will be assigned as instructors of record for a course through a non-tenure-track appointment. Instructors of record are those assigned to be responsible for the course, and these responsibilities may include developing its design, content, pedagogy, assignments, and assessments. Thus, this policy applies to full-time and part-time faculty, adjunct faculty, visiting faculty, and other types of special faculty appointments.

In addition, the policy applies to tenured/tenure-track faculty members who are being considered for teaching a course outside of their primary appointment or outside of the field in which he/she received the terminal degree. It also applies to CWRU staff members who may

serve as an instructor of record either on an overload assignment or as part of their staff appointment. In addition, this policy also applies to graduate students who may be appointed as instructors of record for a course, but it does not apply to graduate students serving as teaching assistants in a course.

All academic degrees earned in the U.S. shall have been awarded by regionally accredited institutions. For those individuals whose degrees are earned abroad, official transcripts (original paper copies or certified electronic copies) or documents that verify receipt of the degree must be submitted to and evaluated to verify the authenticity of the academic documents and demonstrate their comparability with U.S. credentials.

Note that for teaching assignments that include cross-listed courses, the individual would need to be certified as qualified in only one of the departments associated with the course.

EFFECTIVE DATE

The policy becomes effective July 1, 2017, for all first-time hires at CWRU who will be instructors of record (as defined in SCOPE) for teaching assignments.

ACCOUNTABILITY

Candidates for teaching positions are responsible for assuring that the official transcripts (and/or verification of relevant degrees) are submitted to the chair or director of the academic home department upon request. Candidates are also responsible for providing evidence to the department chair or director of licensure or certification in disciplines where such credentials are required. This documentation must be provided before the appointment to teach at CWRU can be made. Falsification or misrepresentation of credentials will subject the appointee to discipline up to and including termination.

The department chair or director is responsible for forwarding the official transcripts, verification of relevant degrees, documentation of professional experience and/or additional licensure and certification, and for following up on any concerns before forwarding the verification documents to the dean. Chairs and directors shall verify all faculty credentials no later than the effective date of employment, and this verification process must be completed prior to the first day of class.

The dean or dean's designee is responsible for the verification and validation of all faculty credential requirements. If the candidate's academic degree(s) do not meet the qualifications outlined in the POLICY statement, then the Verification of Credentials Form (sample attached), must also be submitted to the Office of the Provost. All official transcripts are to be kept on file in the dean's office. Any exceptions to this policy must be approved by the Provost's Office on a case-by-case basis.

The provost or provost's designee is responsible for maintaining an electronic database of teaching credentials and auditing the records on an annual basis.

Individuals who meet at least one of the criteria in the policy statement, as certified by the school dean, will be deemed qualified to teach at the level of the department (or school, if the school is not administratively organized into departments). Approval of the dean is a necessary part of this certification process. This policy statement and qualifications process applies only to the initial teaching appointment at CWRU. Once an individual has been deemed qualified to teach in a department (or school) through this process, the dean of the school has the final authority to decide whether that individual continues to qualify for a teaching assignment.

SOME EXAMPLES OF HOW A FACULTY MEMBER MIGHT BE QUALIFIED UNDER THIS POLICY

This policy is intended to afford the schools and the College some latitude with regard to the nature and quality of the credentials that can be used to justify the teaching appointment. The following examples illustrate some possibilities:

- 1) A candidate for a teaching position has completed all of the coursework required for a PhD degree and is working on completing the PhD dissertation. It would be reasonable to argue that this person's transcript is evidence that she/he has academic credentials equivalent to a master's degree even though she/he may not have formally received the master's degree.
- 2) A candidate for a teaching position holds a PhD degree in one field (e.g., Classics) but is being considered for a teaching appointment in a closely aligned subject area (e.g., Latin or Greek). Similarly, a candidate with a PhD degree in Physics could be qualified to teach a course in Astronomy (and a candidate with a PhD in Astronomy could be qualified to teach in Physics). In both cases, it would be reasonable to argue that these individuals are academically qualified to teach a course in the related subject.
- 3) Suppose a candidate for a teaching position at CWRU had prior experience teaching in that subject area at a different institution. CWRU could consider that prior teaching assignment as "tested experience." This prior experience could have been either as an instructor of record at the prior institution, or under the guidance of one of the regular faculty members at that institution.
- 4) If the candidate had prior experience teaching in the subject at CWRU, either as instructor of record or under the guidance of one of our regular faculty members, that prior teaching could be considered tested experience.
- 5) If the candidate has published research in the field of the teaching assignment, that body of work could also be considered tested experience.
- 6) Experiences outside of an academic setting could also qualify someone for a teaching position. The HLC guidelines indicate that a "breadth and depth of experience outside of the classroom in real-world situations relevant to the discipline in which the faculty member would be teaching" could qualify the candidate for the teaching appointment.

Verification of Credentials Form

This form (Part A or B) with the relevant attachments is to be submitted by the College/School to the Office of the Provost prior to the start of the semester of the teaching assignment
 Candidate Name: _____

<input type="checkbox"/> New Hire <input type="checkbox"/> Re-Hire	CWRU ID: _____ Semester/Year: _____
---	--

Part A: Undergraduate Teaching – The individual is being hired to teach undergraduate courses only and does not have a doctor’s or master’s degree in the discipline. The request to hire is based on the following:

- The person holds at least a master’s degree with a concentration (minimum of 18 graduate semester hours) in a relevant discipline. Provide the transcript and document the 18 hours of relevant coursework.

Course Prefix and Number	Course Title	Number of Semester Hours	Institution

- The person has specific and current exceptional expertise that qualifies him/her to teach the courses to be assigned and an exception to the credentialing guidelines is requested. This is based on the following analysis of course content to be taught. Specific current documentation for each qualification listed (e.g., certifications, licenses, professional training documentation, job descriptions, letters, awards documentation, copies of work products, etc.) is attached.

Course	Course Content	Qualifications	Number of Supporting Documents Attached

Part B: Graduate Teaching – The individual is being hired to teach graduate courses as part of the teaching assignment and does not have a terminal degree in the discipline. The request to hire this person based on the following:

- The person holds at least a terminal degree with a concentration (minimum of 18 graduate semester hours) in a relevant discipline. Provide the transcript and document the 18 hours of relevant coursework.

Course Prefix and Number	Course Title	Number of Semester Hours	Institution

- The person has specific and current exceptional expertise that qualifies him/her to teach the courses to be assigned. The request for an exception to the credentialing guidelines is based on the following analysis of the course content to be taught. Current documentation for each qualification listed (e.g., certifications, licenses, professional training documentation, job descriptions, letters, awards documentation, copies of work products, etc.) is attached.

Course	Course Content	Qualifications	Number of Supporting Documents Attached

Approval Signatures

Department Chair (if applicable)

Name

Date

College/school Dean (required)

Name

Date

Provost Office

Approve Disapprove

Name

Date

Pamela B. Davis, MD, PhD
Dean
Senior Vice President for Medical Affairs
Office of the Dean

10900 Euclid Avenue
Cleveland, Ohio 44106-4915

Visitors and Deliveries
Biomedical Research Bldg., Room 113

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fax 216.368.2820

casemed.case.edu

October 24, 2017

Juscelino Colares
Chair, Faculty Senate
c/o Rebecca Weiss
Secretary of the Faculty Senate
Adelbert Hall

Dear Professor Colares:

As noted in the accompanying memo from Dr. Phoebe Stewart, Chair of the School of Medicine's Faculty Council, the Faculty Council has recommended approval of the Certificate in Health Informatics Graduate Program.

This interdisciplinary certificate program will meet the increasing demand for clinical or health informaticists in healthcare research and biomedical research in region and nationally. The proposed certificate program will be administered by the Department of Population and Quantitative Health Sciences.

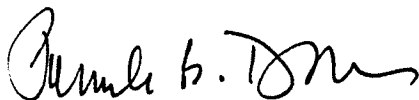
The proposal approval process is outlined in Dr. Stewart's memo. An *ad hoc* Committee was convened to review this new program and, after revisions and multiple presentations, the program was approved by the Faculty Council.

I concur with the Faculty of Medicine and recommend approval of this certificate program.

Please submit the proposed certificate program to the appropriate committees for their review at their earliest opportunity. I would be pleased to answer any questions that might arise during the review process.

Thank you.

Sincerely,



Pamela B. Davis, MD, PhD

cc: Phoebe Stewart, Chair, Faculty Council
Nicole Deming, Assistant Dean for Faculty Affairs and Human Resources

enclosures



SCHOOL OF MEDICINE
CASE WESTERN RESERVE
UNIVERSITY

October 24, 2017

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Sincerely,

Pamela B. Davis, MD, PhD

cc: Phoebe Stewart, Chair, Faculty Council
Nicole Deming, Assistant Dean for Faculty Affairs and Human Resources

enclosures

Appendix I

Example Certificate Programs

Institution	Required Coursework Topics	Credit Hour Requirements
Duke University, School of Nursing	<ul style="list-style-type: none"> • Health Information Exchange Standards, Methods and Models • Health Systems Project Management • Data, Information, and Knowledge Representation • Introduction to Health Informatics • System Design, Implementation, Evaluation and Maintenance • Synthesis of Specialty Practice 	19 Credit Hours
John Hopkins, Bloomberg School of Public Health	<ul style="list-style-type: none"> • Health Information Systems: Design to Deployment • Introduction to Public Health and Biomedical Informatics • Health Information Technology Standards and Systems Interoperability • Public Health Informatics Certificate Practicum • 6 credits of electives 	21 Credit Hours
Cornell University, Weill Cornell Medical College (Certificate in Health Analytics)	<ul style="list-style-type: none"> • Health Data for Research • Health Data Mining • Introduction to Biostatistics • Biostatistics Lab (in Stata or R) 	10 Credit Hours
University of Cincinnati, College of Medicine (Biomedical Informatics)	<ul style="list-style-type: none"> • Database Management • Introduction to Biostatistics • Introduction to Medical Informatics • Introduction to Bioinformatics • Biomedical Informatics Seminar • 6 credits of electives 	19 Credit Hours
Boston University (Biomedical Informatics -Online)	<ul style="list-style-type: none"> • Biomedical Sciences and Health IT • Health Informatics • Electronic Health Records • Advanced Health Informatics 	16 Credit Hours
University of Pittsburgh, Department of Biomedical Informatics (Biomedical Informatics Training Certificate)	<ul style="list-style-type: none"> • Foundations in Clinical and Public Health Informatics • Foundations of Bioinformatics • Biomedical Informatics Journal Club • Research Methods • 6 credits of electives 	15 Credit Hours

<p>Ohio State University, College of Medicine (Certificate in Biomedical Informatics)</p>	<ul style="list-style-type: none"> • Introduction to Biomedical Informatics • Methods in Biomedical Informatics • Public Health Informatics <p>4 Specialization Tracks:</p> <p>Clinical Informatics</p> <ul style="list-style-type: none"> • Introduction to Clinical Informatics • Health Analytics <p>Clinical Research Informatics</p> <ul style="list-style-type: none"> • Introduction to Research Informatics • Design and Methodological Studies in BMI <p>Health Analytics</p> <ul style="list-style-type: none"> • Health Analytics • Design and Methodological Studies in BMI <p>Translational Bioinformatics</p> <ul style="list-style-type: none"> • Introduction to Bioinformatics • Introduction to Research Informatics 	<p>15 Credit Hours</p>
<p>Drexel University</p>	<ul style="list-style-type: none"> • Healthcare Informatics • Managing Health Informatics Projects • Healthcare Informatics: Planning & Evaluation 	<p>9 Credit Hours</p>
<p>University of Missouri</p>	<ul style="list-style-type: none"> • Introduction to Health Informatics <p>Three of the Following:</p> <ul style="list-style-type: none"> • Health Information Technology • HIPAA, Social Media, and the Ethics of Health Information • Information Security, Evaluation, and Policy • Data Warehousing and Data/Text Mining for Health Care • Biomedical and Health Vocabularies and Ontologies • Enterprise Information Architecture • Health Data Analytics • Decision Support in Health Care Systems • Consumer Health Informatics • Knowledge Representation in Biology and Medicine 	<p>12 Credit Hours</p>

Appendix II

Electives

EBME 473 / SYBB421 (3 Credit Hours) – Fundamentals of Clinical Information Systems

Technology has played a significant role in the evolution of medical science and treatment. While we often think about progress in terms of the practical application of, say, imaging to the diagnosis and monitoring of disease, technology is increasingly expected to improve the organization and delivery of healthcare services, too. Information technology plays a key role in the transformation of administrative support systems (finance and administration), clinical information systems (information to support patient care), and decision support systems (managerial decision-making). This introductory graduate course provides the student with the opportunity to gain insight and situational experience with clinical information systems (CIS). Often considered synonymous with electronic medical records, the "art" of CIS more fundamentally examines the effective use of data and information technology to assist in the migration away from paper-based systems and improve organizational performance. In this course we examine clinical information systems in the context of (A) operational and strategic information needs, (B) information technology and analytic tools for workflow design, and (C) subsequent implementation of clinical information systems in patient care. Legal and ethical issues are explored. The student learns the process of "plan, design, implement" through hands-on applications to select CIS problems, while at the same time gaining insights and understanding of the impacts placed on patients and health care providers.

EECS / SYBB 459 (3 Credit Hours) - Bioinformatics for Systems Biology

Description of omic data (biological sequences, gene expression, protein-protein interactions, protein-DNA interactions, protein expression, metabolomics, biological ontologies), regulatory network inference, topology of regulatory networks, computational inference of protein-protein interactions, protein interaction databases, topology of protein interaction networks, module and protein complex discovery, network alignment and mining, computational models for network evolution, network-based functional inference, metabolic pathway databases, topology of metabolic pathways, flux models for analysis of metabolic networks, network integration, inference of domain-domain interactions, signaling pathway inference from protein interaction networks, network models and algorithms for disease gene identification, identification of dysregulated subnetworks network-based disease classification.

EPBI 431 (3 Credit Hours) - Statistical Methods I

Application of statistical techniques with particular emphasis on problems in the biomedical sciences. Basic probability theory, random variables, and distribution functions. Point and interval estimation, regression, and correlation. Problems whose solution involves using packaged statistical programs. First part of year-long sequence.

EPBI 451 (3 Credit Hours) - A Data-Driven Introduction to Genomics and Human Health

This course introduces the foundational concepts of genomics and genetic epidemiology through four key principles: 1) Teaching students how to query relational databases using Structure Query Language (SQL); 2) Exposing students to the most current data used in genomics and bioinformatics research, providing a quantitative understanding of biological concepts; 3) Integrating newly learned concepts with prior ones to discover new relationships among biological concepts; and 4) providing historical context to how and why data were generated and stored in the way they were, and how this gave rise to modern concepts in genomics.

EPBI 457 (3 Credit Hours) - Current Issues in Genetic Epidemiology: Design and Analysis of Sequencing Studies

Statistical methods to deal with the opportunities and challenges in Genetic Epidemiology brought about by modern sequencing technology. Some computational issues that arise in the analysis of large sequence data sets will be discussed. The course includes hands-on experience in the analysis of large sequence data sets, in a collaborative setting.

EPBI 471 (3 Credit Hours) - Machine Learning & Data Mining

Vast amount of data are being collected in medical and social research and in many industries. Such big data generate a demand for efficient and practical tools to analyze the data and to identify unknown patterns. We will cover a variety of statistical machine learning techniques (supervised learning) and data mining techniques (unsupervised learning), with data examples from biomedical and social research. Specifically, we will cover prediction model building and model selection (shrinkage, Lasso), classification (logistic regression, discriminant analysis, k-nearest neighbors), tree-based methods (bagging, random forests, boosting), support vector machines, association rules, clustering and hierarchical clustering. Basic techniques that are applicable to many of the areas, such as cross-validation, the bootstrap, dimensionality reduction, and splines, will be explained and used repeatedly. The field is fast evolving and new topics and techniques may be included when necessary.

EPBI 515 (3 Credit Hours) - Secondary Analysis of Large Health Care Data Bases

Development of skills in working with the large-scale secondary data bases generated for research, health care administration/billing, or other purposes. Students will become familiar with the content, strength, and limitations of several data bases; with the logistics of obtaining access to data bases; the strengths and limitations of routinely collected variables; basic techniques for preparing and analyzing secondary data bases and how to apply the techniques to initiate and complete empirical analysis.

MPHP 405 (3 Credit Hours) - Statistical Methods in Public Health

This one-semester survey course for public health students is intended to provide the fundamental concepts and methods of biostatistics as applied predominantly to public health problems. The emphasis is on interpretation and concepts rather than calculations. Topics include descriptive statistics; vital statistics; sampling; estimation and significance testing; sample size and power; correlation and regression; spatial and temporal trends; small area analysis; statistical issues in policy development. Examples of statistical methods will be drawn from public health practice. Use of computer statistical packages will be introduced.

MPHP 458 / EPBI 458 (3 Credit Hours) - Statistical Methods for Clinical Trials

This course will focus on special statistical methods and philosophical issues in the design and analysis of clinical trials. The emphasis will be on practically important issues that are typically not covered in standard biostatistics courses. Topics will include: randomization techniques, intent-to-treat analysis, analysis of compliance data, equivalency testing, surrogate endpoints, multiple comparisons, sequential testing, and Bayesian methods.

MPHP 467 / EPBI 467 (1-3 Credit Hours) - Comparative and Cost Effectiveness Research

Comparative effectiveness research is a cornerstone of healthcare reform. It holds the promise of improved health outcomes and cost containment. This course is presented in a convenient 5-day intensive format in June. There are reading assignments due prior to the 1st session. Module A, Days 1-2: Overview of comparative effectiveness research (CER) from a wide array of perspectives: individual provider, institution, insurer, patient, government, and society. Legal, ethical and social issues, as well as implications for population and public health, including health disparities will also be a component. Module B, Day 3: Introduction to the various methods, and their strengths, weaknesses and limitations. How to read and understand CER papers. Module C, Days 4-5: Cost-Effectiveness Analysis. This will cover costing, cost analysis, clinical decision analysis, quality of life and cost-effectiveness analysis for comparing alternative health care strategies. Trial version of TreeAge software will be used to create and analyze a simple cost-effectiveness model. The full 3-credit course is for taking all 3 modules. Modules A or C can be taken alone for 1 credit. Modules A and B or Modules B and C can be taken together for a total of 2 credits. Module B cannot be taken alone. If taking for 2 or 3 credits, some combination of term paper, project and/or exam will be due 30 days later.

MPHP / EPBI 468 (3 Credit Hours) - The Continual Improvement of Healthcare: An Interdisciplinary Course

This course prepares students to be members of interprofessional teams to engage in the continual improvement in health care. The focus is on working together for the benefit of patients and communities to enhance quality and safety.

CRSP 401 (3 Credit Hours) - Introduction to Clinical Research Summer Series

This course is designed to familiarize one with the language and concepts of clinical investigation and statistical computing, as well as provide opportunities for problem-solving, and practical application of the information derived from the lectures. The material is organized along the internal logic of the research process, beginning with mechanisms of choosing a research question and moving into the information needed to design the protocol, implement it, analyze the findings, and draw and disseminate the conclusion(s).

ACCT 401H (3 Credit Hours) - Accounting for Healthcare

This course exposes MSM-Healthcare students to ways that accounting information helps managers monitor and improve the performance of organizations. After studying the nature and limitations of accounting information, we explore how financial, cost, tax, and regulatory accounting are used by various stakeholders. From this effort, students become comfortable evaluating accounting recognition, valuation, classification, and disclosure issues that arise in an executive's career. Finally, we study how accounting is a feedback loop that enables managers to assess consequences of past decisions and think about what should be done going forward. Feedback loops, in turn, can give rise to observer effects and/or unpredictable outcomes. Course content contributes to achieving the program goal of strengthening a student's ability to promote positive change in healthcare.

HSMC 412 (3 Credit Hours) – Lean Service Operations

The course will be delivered over four modules: 1) Service Process Blueprints, 2) Managing Capacity in Service Systems, 3) Mapping the Value Stream (current and future state), and 4) Inventory Management in Service Systems. The topics considered are viewed in the context of healthcare management, financial services, insurance firms, call centers, back-office operations, and other applications. Through these topics, the participants will be trained in tools that help them understand customers' expectations and needs and to identify service system characteristics that can meet these needs. We will learn how to identify errors in service and troubleshoot these problems by identifying the root causes of errors. Subsequently, we will discuss how one can modify the product or service design so as to prevent defects from occurring. Finally, we will establish performance metrics that help evaluate the effectiveness of the Lean system in place. These efforts will result to improved quality. This course is not oriented toward specialists in service management. Its goal is to introduce you to the environments and help you appreciate the problems that operations managers are confronted with. Then, we will typically discuss some system specifics and emphasize the principles and issues that play key role in their management.

HSMC 420 (3 Credit Hours) – Health Finance

Exploration of economic, medical, financial and payment factors in the U.S. healthcare system sets the framework for the study of decisions by providers, insurers, and purchasers in this course. The mix of students from various programs and professions allows wide discussion from multiple viewpoints.

HSMC 456 (3 Credit Hours) – Health Policy and Management Decisions

This seminar course combines broad health care policy issue analysis with study of the implications for specific management decisions in organizations. This course is intended as an applied, practical course where the policy context is made relevant to the individual manager.

Appendix III

Electives by Domain of Academic Interest (pick 2 from 1 domain)

Health Informatics Management Concentration (Health Care Professionals)	Clinical Informatics Concentration (MPH/PhD PQHS Students)	Bioinformatics Concentration (MPH/PhD PQHS Students)
EBME 473 – Introduction to Clinical Information Systems	EPBI 515 – Large database / Healthcare analytics	EPBI 451 – A Data-Driven Introduction to Genomics and Human Health
CRSP 401 – Introduction to Clinical Research OR EPBI 431 – Statistical Methods 1	EPBI 471 – Machine learning and data mining	EPBI 471 – Machine learning and data mining
EPBI 471 – Machine Learning/Data Mining	EBME 473 / SYBB 431 – Introduction to Clinical Information Systems	EECS / SYBB 459 – Bioinformatics for Systems Biology
HSMC 420 – Health Finance	CRSP 401 – Introduction to Clinical Research OR EPBI 431 – Statistical Methods 1 OR MPHP 405 – Statistical Methods in Public Health	
HSMC 412 – Lean Service Operations	MPHP 467 – Comparative and Cost Effectiveness Research	
HSMC 456 – Health Policy and Management Decisions	MPHP 468 – The Continual Improvement of Healthcare: An Interdisciplinary Course	
	MPHP 458 – Statistical Methods for Clinical Trials	

CWRU Action Form for Majors/Minors/Programs/Sequences/Degrees
(instructions on back)

Docket # _____

College/School: School of Medicine

Department: Epidemiology and Biostatistics

PROPOSED: major
 minor
 program
 sequence
 degree

TITLE: Graduate Certificate in Health Informatics

EFFECTIVE: Fall (semester) 2017 (year)

DESCRIPTION: 12 credits, consisting of 2 required 3-credit courses plus two elective 3-credit courses. All courses are selected from currently offered courses.

1. Health Informatics is a fast growing area and there has been great interest on the part of Dean Davis (SOM) to create graduate programs in Health Informatics. This graduate certificate program would be the first offering and form a starting point for an MS program, and eventually a PhD program.
2. The program is a project of the Institute for Computational Biology, a collaborative venture. This certificate program is in collaboration with SOM, Engineering and Weatherhead. The department of Population and Quantitative Health Sciences (formerly Epidemiology and Biostatistics) is assisting with administration of the program.
3. The program will be open to clinical residents and fellows, clinical staff and graduate students in many programs. Courses taken for other graduate degree programs at CWRU would be double-counted towards the certificate. This will add value to many programs at CWRU in which health informatics is a component.
4. No new courses need to be offered. Existing courses have room for the additional students.
5. All faculty/staff resources required are currently in place and available.

Is this major/minor/program/sequence/degree: new
 modification
 replacement

If modification or replacement please elaborate: _____

Does this change in major/minor/program/sequence/degree involve other departments? Yes No

If yes, which departments? _____

Contact person/committee: Mendel Singer, mendel@case.edu 368-1951

SIGNATURES:

DATE

Department Curriculum Chair(s)/Program Directors: *Mendel E. Singer* March 20 2017

Department Chair: *Jonathan L. Reines*

College/School Curriculum Committee Chair: _____

College/School Dean(s): _____

FSCUE Curriculum Subcommittee Chair: _____

File copy sent to: Registrar Office of Undergraduate Studies/Graduate Studies
 Other: _____

INSTRUCTIONS

(** indicates attachments required)

1. **Docket # will be filled in by the Dean's Office.**
- ** 2. **For a NEW major/minor/program/sequence/degree, include an outline of the requirements and provide a justification for establishment. For a CHANGE, describe specific changes in requirements and provide justification for all changes.**
3. **The completed form (with accompanying documents) should be signed by the originating department's curriculum committee chair and department chair, other departments as required, then forwarded to the dean's office. Do not send forms directly to the Registrar's Office. The Provost and various deans' offices will coordinate transmittals.**

Graduate Certificate Program in Health Informatics

9/5/2017

Attention:

Please note that the one of the core required courses for this certificate program, EECS / EBME 480N, is in the process of relocating from EECS to Weatherhead. We anticipate that this exchange will be completed prior to the proposal being reviewed by the Faculty Council.

Graduate Certificate Program in Health Informatics

Section I: Approved graduate program(s) sponsoring the certificate program

The Graduate Certificate Program in Health Informatics (GCHI) will be sponsored and administered through the Institute of Computational Biology's (ICB) Center for Education and Training in Health Informatics (CETHI). This certificate program will serve as the core courses for our future Master's and PhD Graduate Programs in Health Informatics (GPHI), which are currently being developed. Administrative support will be provided by the Department of Population and Quantitative Health Sciences (PQHS) through the Vice Chair for Education and the Administrative Director. The Graduate Committee on Informatics will function as a steering committee for the certificate program and will be responsible for oversight of all admissions, academic, and curricular issues for the program. The Graduate Committee on Informatics will consist of a chairperson (the academic program director), three faculty members of CETHI, and the vice chair for education from the Department of Population and Quantitative Health Sciences. The academic program director and the three faculty members of the graduate committee are appointed by the vice chair for education of the Department of Population and Quantitative Health Sciences. The Graduate Committee on Informatics will be responsible for reviewing and admitting individuals into the program, handling any student or faculty concerns as they arise, and periodic reviewing of the curriculum to assure maintenance of academic standards. The current academic program director and chairperson of the Graduate Committee on Informatics is David Kaelber, MD. The three members of the Graduate Committee on Informatics from CETHI are Satya Sahoo, PhD, Alan Dowling, PhD, MCS, MS, and Colin Drummond, PhD, MBA. Mendel Singer, PhD, MPH is the current Vice Chair for Education for PQHS.

Administrative aspects of the program will be conducted by the PQHS's Administrative Director of Non-Clinical Graduate Education. This position is currently filled by Nickalaus Koziura.

Section II: Need and demand for the certificate program

The US Bureau of Labor Statistics projects that employment related to health informatics to grow 22% from 2012 to 2022. Despite this projected growth, the emergent field of health informatics education remains fragmented. According to the American Medical Informatics Association (AMIA), there are approximately 70 advanced degree programs in the United States offering a variety of programs, including institutions such as the University of Cincinnati and Ohio State University. Admission to these programs tends to not be competitive due to high market demand for graduates. Additionally, these programs typically utilize open enrollment policies as a way to generate revenue. There is not a coordinated professional program involving structured activity that balances health care and information technology. Many existing programs are "reactive" to the Affordable Care Act and are not all that relevant to the needs of the US health care system. Levels of technical instruction vary in these open enrollment

programs; some courses center more heavily on strategy, others on statistics and “R” programming, and yet others on medicine.

This new interdisciplinary certificate program is designed to meet the increasing demand for clinical or health informaticists in healthcare research and biomedical research, both nationally and locally in the Greater Cleveland area and Northeastern Ohio (NEO). Although NEO is home to three renowned hospital systems (Cleveland Clinic Foundation, University Hospitals, The MetroHealth System), there has been a lack of centralized and structured education in clinical and health informaticists in this region. This new program will provide a centralized, coherently structured system that serves the health informatics domain in NEO and will provide a foundation of knowledge and an opportunity for professionals in fields that are increasingly incorporating health informatics into daily operations.

The Institute for Computational Biology (ICB) is an academic collaboration between Case Western Reserve University (CWRU), University Hospitals, and the Cleveland Clinic Foundation. Founded in November 2013, the ICB seeks to expand our fundamental knowledge of human biology and thus improve our ability to diagnose, treat, prevent, and deliver healthcare through the application of computational methods to large and diverse datasets.

The Department of Population and Quantitative Health Sciences is a proud member of the CWRU School of Medicine. The School of Medicine is affiliated with some of the nation’s best hospitals, such as University Hospitals Cleveland Medical Center, Cleveland Clinic Foundation, Veteran’s Administration Medical Center, and The MetroHealth System. The proposed certificate program will be administered by the Department of Population and Quantitative Health Sciences.

This certificate program builds upon the School of Medicine’s stated mission to provide excellence in medical education and to improve the health of our community by offering broad coverage over the basics in both clinical and health informatics. Students are expected to be from two broad categories: (1) physicians, fellows, nurses, pharmacists, and hospital quality department employees seeking to learn the core knowledge of clinical informatics so that they will be able to effectively design, manage, and access electronic health records (EHRs); (2) those who aspire to work as an informaticist in biomedical research or the healthcare industry seeking to learn the necessary technical and analytical skills to develop, manage, and analyze EHRs. Within these groups, we will specifically market to underrepresented groups in NEO. This twelve (12)-credit health informatics certificate program will be accessible to these professionals, filling an important role in workforce development. The demand for informatics is visible in how many departments at CWRU are offering informatics centric courses.

We anticipate enrollment increasing over 5 years up to a cap of 15 per year. This may necessitate a cap on the number of students accepted from any single graduate program. Below is a table that projects the expected enrollment targets in the certificate program. Although health informatics is an international field, we do not expect significant international enrollment during the first five (5)-year period.

Program	Year 1	Year 2	Year 3	Year 4	Year 5
Certificate - New Enrollees	5	10	10	15	15

Section III: Statement of educational objectives of the certificate program

The proposed certificate program is designed to provide students with a strong foundation in both clinical and health informatics. After completing the program, graduates will be prepared for utilizing health informatics to improve their professional performance. Based on the core competencies established by the American Medical Informatics Association (AMIA), we have developed a set of core competencies and education objectives for the certificate program. Upon the completion of the certificate program, individuals will be able to:

Domain	Core Competency	Coursework Supporting Competency
Fundamentals	Clinical Informatics	EECS/EBME 480N, MPHP 532/HSMC 432
	The Health System	EECS/EBME 480N, MPHP 532/HSMC 432
Clinical Decision Making and Care Process Improvement	Clinical Decision Support	EECS/EBME 480N, MPHP 532/HSMC 432
	Evidence-based Patient Care	EECS/EBME 480N, MPHP 532/HSMC 432
	Clinical Workflow Analysis, Process Redesign, and Quality Improvement	EECS/EBME 480N, MPHP 532/HSMC 432
Health Information Systems	Information Technology Systems	EECS/EBME 480N, MPHP 532/HSMC 432
	Human Factors Engineering	EECS/EBME 480N, MPHP 532/HSMC 432
	Health Information Systems and Applications	EECS/EBME 480N, MPHP 532/HSMC 432
	Clinical Data Standards	EECS/EBME 480N, MPHP 532/HSMC 432
	Information System Lifecycle	EECS/EBME 480N, MPHP 532/HSMC 432
	Leadership Models, Processes, and Practices	MPHP 532/HSMC 432

Leading and Managing Change	Effective Interdisciplinary Teams	MPHP 532/HSMC 432
	Effective Communications	MPHP 532/HSMC 432
	Project Management	MPHP 532/HSMC 432
	Strategic and Financial Planning for Clinical Information Systems	MPHP 532/HSMC 432
	Change Management	MPHP 532/HSMC 432

Section IV: Curriculum for the certificate program

A minimum of twelve (12) credit hours will be required for the successful completion of the program. Students who choose to complete 15 credits will have the certificate appear on their transcript. Each student must complete two (2) core courses (MPHP 532 / HSMC 432 & EECS / EBME 480N) and six-nine (6-9) credit hours from a list of acceptable electives. The core courses will be scheduled with one in the fall and one in the spring of each academic year. Students will be expected to complete the program within four (4) semesters of acceptance, but can complete the program in two (2) semesters. This time to completion expectation will allow students to maximize their available employee tuition benefit.

Two of the courses required for this certificate are already being offered, MPHP 532 / HSMC 432 and EECS/EBME 480N. Both of these existing courses are being updated to provide a strong foundation to the certificate’s program of study. Students will develop individual planned programs of study (PPOS) with their advisors to identify a minimum of six (6) hours of electives that best align with their academic interests. This will ensure that students not only receive a strong foundation in health informatics but can focus on the aspects of health informatics that are most relevant to their career goals. Students will be able to petition the Program Director to allow for a course not listed as an elective to be counted toward the certificate. The Program Director will be the final decision maker for all substitution petitions, but can include the executive council in the decision making process.

See Appendix III for electives within the three alternative domains of academic interest: (1) Health Informatics Management, (2) Clinical Informatics, and (3) Bioinformatics.

Students who opt for the fifteen (15) credit program will need to choose 9 credits of electives. While six (6) must be from a single domain (see Appendix III), the other 3 credits can be taken from any domain or can be from credits taken at CWRU for a health informatics project, thesis or independent study.

Core Courses

MPHP 532 / HSMC 432 (3 Credit Hours) – Introduction to Health Informatics

The course is intended to develop competence and confidence in the participant's ability to understand and manage the complex information environment, plan for computer-based information systems, specify their functional design, manage a system adoption project, deal with system vendors, and function as an intra- or extra-organizational consultant on health-related information systems. The course covers such issues as the evolution of health care information systems; the kinds of systems in use; information management and planning; the successful design, acquisition, implementation and evaluation of systems; legal and ethical issues; and the future of HCIS.

EECS / EBME 480N (3 Credit Hours) – Health Informatics Core Issues [Will be relocated to PQHS with a new course number and the following modified course description (content changed to fit health informatics certificate and coming MS/PhD since the previous student constituency doesn't exist anymore). Planned for Spring 2019.

New Title: Foundations of Computing in Biomedical Informatics

Explore techniques in programming and mathematical foundations of data analysis in biomedical and healthcare context. The topics include algorithm design and analysis, logic and reasoning foundations, data management concepts, including survey of database management systems. Explore natural language processing techniques, information retrieval, and image informatics. Introduction to Big Data technologies, including parallel and distributed computing, cloud infrastructure, and scalable systems.

See Appendix II for a list of electives.

Section V: Justification

The Health Informatics Certificate program is a twelve-fifteen (12-15) credit hour program. The twelve (12) credit option is critical for some students, such as medical fellows, who will only have time to take one (1) course per semester over two (2) years (and will be able to complete the competencies from the American Medical Informatics Association). Students who opt for the fifteen (15) credit option will have the certificate appear on their CWRU transcript. Students who successfully complete the required coursework will receive a Certificate in Health Informatics issued by CETHI. Based on the consideration of the critical competency-knowledge areas described above, the required six (6) credit hours of core coursework and a wide range of electives were identified. Credit hours and curricula of many existing certificate programs in health informatics/biomedical informatics were also considered. A representative sample of such programs can be found in Appendix I. The examined programs range from nine (9) to twenty-one (21) required credit hours and cover similar information.

Section VI: Entrance, performance, and exit standards for the certificate program

Entrance Standards: Entrance to the Certificate program will be administered by the Department of Population and Quantitative Health Sciences. Individuals who want to participate in the program will complete an application form that includes a brief personal statement describing the reason(s) for seeking health informatics training and a recent CV or resume.

We expect that most applicants to the Certificate program will have already obtained a postsecondary (e.g. AS, BS, BA, MS, PhD) or advanced clinical (e.g. MD, MSN, DMD) degree and be a current health or clinical professional. Per CWRU School of Graduate Studies requirements, individuals who are not already graduate degree-seeking students at CWRU must submit to the School of Graduate Studies a completed non-degree application form. Individuals who are not faculty, staff, or employees of CWRU must also submit a transcript or copy of their diploma, documenting completion of a baccalaureate degree. Per School of Graduate Studies requirements, non-degree-seeking individuals will not be required to provide their Test of English as a Foreign Language (TOEFL). However, the program may optionally require the TOEFL for individual students.

Individuals will be accepted into the program based on the Graduate Committee on Informatics' review of the personal statement, letters of reference, transcripts, and any supporting documentation required by the School of Graduate Studies. Majority vote of acceptance by the Committee members will be necessary for admittance. Once accepted into the Certificate program, participants will register for the courses through the Student Information System.

The program will have rolling admissions, so students may start in the fall, the spring, or the summer. Deadlines to apply to program will be the following: May 1st for summer, June 30th for fall, and December 1st for spring. The coursework for the Certificate will be listed on the official CWRU transcript. However, the Certificate in Health Informatics will be issued by the Department of Population and Quantitative Health Sciences, not the University. Although course credits will appear on the official CWRU transcript and will be transferable to fulfill requirements for advanced degrees, the certificate itself will only appear on the official CWRU transcript for students choosing the fifteen (15) credit option.

Length of Program: Once accepted into the program, individuals will have three (3) calendar years to complete the requirements. Most students will complete the program within four (4) semesters of acceptance, but the program can be completed in as little as two (2) semesters.

Performance Standards: A grade of B or higher in each core required course, and C or higher in every elective graded course and an overall GPA of 3.00 will be required for successful completion of the Certificate program. A minimum of twelve (12) credits must be graded. Enrollees will be responsible for keeping track of the courses they take. To oversee students' progress in the program, enrollees will be required to submit a one-page Program Progress

Checklist to the Administrative Director of Non-Clinical Graduate Education at the end of each semester indicating the course(s) completed that semester. The Administrative Director of Non-Clinical Graduate Education will notify the Graduate Committee on Informatics if any students are not making adequate progress towards the Certificate. The Committee will make recommendations for remediation or any further action to assist students in successfully completing the program.

Exit Standards: Students who complete all required coursework will submit a checklist to the Administrative Director of Non-Clinical Graduate Education that all coursework is completed. This administrator will verify with the registrar's office that all requirements have been met. After this verification, the Academic Program Director will approve the awarding of the certificate in writing, and the Program Director will issue a certificate to the enrollee documenting completion of the program. If the student has opted for the fifteen (15) credit certificate, the program will certify the student for graduation and submit paperwork to the School of Graduate Studies for processing, to ensure the awarding of the certificate appears on the student's transcript.

Section VII: Faculty expertise contributing to the certificate program

Faculty responsible for the Certificate program will be drawn from the CWRU School of Medicine's Department of Population and Quantitative Health Sciences, the Case School of Engineering's Department of Electrical Engineering and Computer Science, the Institute for Computational Biology and CWRU School of Medicine's Program in Systems Biology and Bioinformatics. Faculty members currently responsible for contributing to the core courses of the certificate program are listed below.

Alan Dowling, PhD, MCS, MS

Alan Dowling consults and researches internationally on health strategy; health information exchange; EHR and PHR adoption; technology-based process innovation and reengineering; and information systems design, adoption and outcome measurement. His education includes a PhD (MIT) in healthcare management and management information systems and master's degrees in computer science and engineering management with an emphasis in health systems engineering. He was a full-time faculty member of CWRU's School of Management and School of Medicine before becoming a partner at Ernest & Young, where he was responsible for health information systems consulting and later its Director of Global Health Consulting. He was also a Colonel in the USAF Medical Service Corps and served on numerous federal health task forces.

David Kaelber, MD, PhD, MPH, FAAP, FACP, FACMI

Professor of Internal Medicine, Pediatrics, Department of Population and Quantitative Health Sciences. Case Western Reserve University. Areas of interest and research include personal health records, electronic health records, clinical decision support, telemedicine, the teaching of medical informatics, using electronic medical records for chronic disease detection and

management, and other areas of clinical informatics, as well as research in med-peds, primary care, and chronic diseases in children and adults.

Satya Sahoo, PhD

Assistant Professor, Department of Population and Quantitative Health Sciences, Case Western Reserve University. Research interests in biomedical informatics include biomedical big data, neuroinformatics, epilepsy neurological disorder, clinical text processing, sleep medicine, community health. Dr. Sahoo's research interests in computer Science include knowledge representation and reasoning (ontology engineering), distributed and parallel computing (Hadoop, data science), Semantic Web, provenance metadata, data integration, scientific workflows, and (Semantic) Web services.

Colin Drummond, PhD, MBA

Professor and Assistant Chair, Department of Biomedical Engineering. The Institute for Management and Engineering. Research interests include educational pedagogy, healthcare IT, entrepreneurship and innovation. Much of this research has a strong translational focus, resulting in collaboration and secondary appointments in the School of Medicine and the University Hospitals Cleveland Medical Center. Professor Drummond has conducted research in the areas of medical device design, microfabrication packaging, sensor systems, and cross-platform software systems integration. For over two decades, Colin has worked in the application of science and technology to the creation of products and services.

Mendel Singer, PhD, MPH

Associate Professor. Vice Chair for Education. Department of Population and Quantitative Health Sciences. Research interests in content areas obesity, infectious disease, antimicrobial resistance, and mental health. Research interests in methodology include school and community health interventions (especially among faith-based and Jewish communities), cost-effectiveness analysis (especially in developing nations), large databases, health care claims databases, and quality of life.

Section VIII: New resources, courses, etc., if any, necessary to support certificate program

Managerial and administrative tasks necessary for the proposed Certificate program will be added to the administrative director of Non-Clinical Graduate Education. The program will require no new courses. The projected cost of the program is \$6,500 annually, which includes marketing to promote our program to target student groups and AMIA membership. The projected cost is itemized below. Additionally, the Dean of the School of Medicine has committed funds for the faculty support and marketing for the first two years of the program. The Institute for Computational Biology has committed administrative support staff and to cover

miscellaneous administrative expenses. The ICB is offering this certificate as a service to the university.

Category	Description	Annual Amount
Marketing	Funds for promotional material and efforts for programs	\$2,500
AMIA	Annual membership	\$4,000

Section IX: Tuition Transfer

Tuition return for students enrolled as non-degree students is automatically assigned based on registration. There is no need for any adjustment of this tuition money.

Tuition return for graduate students enrolled in a degree program, by default, is assigned to the student’s home school. The health informatics program is one that will span multiple schools and programs, and will be helpful to many programs success (e.g. the Health Informatics major in the Master of Public Health program, the Medical Informatics major in the M.S. in Computer Science program). This is consistent with the Institute for Computation Biology, which is a very collaborative, multi-institutional endeavor. Further, the number of students in any specific elective class is not expected to be large, and many of these may be students from a degree program in that course’s school. In the spirit of collegiality, there will be no special arrangement for tuition sharing for elective courses in this certificate program, i.e. the default University arrangement of tuition return going to home school will be maintained.

However, due to the anticipated size of this program, it is recognized that there needs to be tuition support for the core required courses that will be taught at Weatherhead. For these courses, when students in the certificate program are also enrolled in a degree program outside of Weatherhead, tuition for that course will be shared in the following manner: the student’s home school will pay 37.5% of the tuition (based on WSOM’s per credit hour tuition) to Weatherhead, with WSOM billing the appropriate school for that amount. This is based on the premise of allowing about 25% for overhead and splitting the balance equally between the student’s home school and WSOM [Note: The fixed 37.5% figure is to simplify billing – in actuality, the University sends approximately 97% of tuition to the home school, not 100%]. There is one exception to this rule. Since the School of Medicine has invested money in the development of this program, and is assuming the cost and administrative responsibilities for the running of the program, SOM will be allowed to have up to 4 M.D. students per year enter the certificate program without having to pay WSOM any tuition when these students take the core required courses.

In the event that a student in a degree program outside of Weatherhead has, prior to enrolling in the certificate program, already taken one or both of the core required

courses with no tuition sharing with WSOM, WSOM reserves the right to back charge the student's home school (according to the rule above) as a requirement for completion of the certificate.

There has been some movement towards a University policy of tuition sharing for graduate students taking courses in a different school. That has not happened as of the time of this proposal. If such a policy becomes implemented automatically, it will supersede the arrangement proposed here.

Appendix I

Example Certificate Programs

Institution	Required Coursework Topics	Credit Hour Requirements
Duke University, School of Nursing	<ul style="list-style-type: none"> • Health Information Exchange Standards, Methods and Models • Health Systems Project Management • Data, Information, and Knowledge Representation • Introduction to Health Informatics • System Design, Implementation, Evaluation and Maintenance • Synthesis of Specialty Practice 	19 Credit Hours
John Hopkins, Bloomberg School of Public Health	<ul style="list-style-type: none"> • Health Information Systems: Design to Deployment • Introduction to Public Health and Biomedical Informatics • Health Information Technology Standards and Systems Interoperability • Public Health Informatics Certificate Practicum • 6 credits of electives 	21 Credit Hours
Cornell University, Weill Cornell Medical College (Certificate in Health Analytics)	<ul style="list-style-type: none"> • Health Data for Research • Health Data Mining • Introduction to Biostatistics • Biostatistics Lab (in Stata or R) 	10 Credit Hours
University of Cincinnati, College of Medicine (Biomedical Informatics)	<ul style="list-style-type: none"> • Database Management • Introduction to Biostatistics • Introduction to Medical Informatics • Introduction to Bioinformatics • Biomedical Informatics Seminar • 6 credits of electives 	19 Credit Hours
Boston University (Biomedical Informatics -Online)	<ul style="list-style-type: none"> • Biomedical Sciences and Health IT • Health Informatics • Electronic Health Records • Advanced Health Informatics 	16 Credit Hours
University of Pittsburgh, Department of Biomedical Informatics (Biomedical Informatics Training Certificate)	<ul style="list-style-type: none"> • Foundations in Clinical and Public Health Informatics • Foundations of Bioinformatics • Biomedical Informatics Journal Club • Research Methods • 6 credits of electives 	15 Credit Hours

<p>Ohio State University, College of Medicine (Certificate in Biomedical Informatics)</p>	<ul style="list-style-type: none"> • Introduction to Biomedical Informatics • Methods in Biomedical Informatics • Public Health Informatics <p>4 Specialization Tracks:</p> <p>Clinical Informatics</p> <ul style="list-style-type: none"> • Introduction to Clinical Informatics • Health Analytics <p>Clinical Research Informatics</p> <ul style="list-style-type: none"> • Introduction to Research Informatics • Design and Methodological Studies in BMI <p>Health Analytics</p> <ul style="list-style-type: none"> • Health Analytics • Design and Methodological Studies in BMI <p>Translational Bioinformatics</p> <ul style="list-style-type: none"> • Introduction to Bioinformatics • Introduction to Research Informatics 	<p>15 Credit Hours</p>
<p>Drexel University</p>	<ul style="list-style-type: none"> • Healthcare Informatics • Managing Health Informatics Projects • Healthcare Informatics: Planning & Evaluation 	<p>9 Credit Hours</p>
<p>University of Missouri</p>	<ul style="list-style-type: none"> • Introduction to Health Informatics <p>Three of the Following:</p> <ul style="list-style-type: none"> • Health Information Technology • HIPAA, Social Media, and the Ethics of Health Information • Information Security, Evaluation, and Policy • Data Warehousing and Data/Text Mining for Health Care • Biomedical and Health Vocabularies and Ontologies • Enterprise Information Architecture • Health Data Analytics • Decision Support in Health Care Systems • Consumer Health Informatics • Knowledge Representation in Biology and Medicine 	<p>12 Credit Hours</p>

Appendix II

Electives

EBME 473 / SYBB421 (3 Credit Hours) – Fundamentals of Clinical Information Systems

Technology has played a significant role in the evolution of medical science and treatment. While we often think about progress in terms of the practical application of, say, imaging to the diagnosis and monitoring of disease, technology is increasingly expected to improve the organization and delivery of healthcare services, too. Information technology plays a key role in the transformation of administrative support systems (finance and administration), clinical information systems (information to support patient care), and decision support systems (managerial decision-making). This introductory graduate course provides the student with the opportunity to gain insight and situational experience with clinical information systems (CIS). Often considered synonymous with electronic medical records, the "art" of CIS more fundamentally examines the effective use of data and information technology to assist in the migration away from paper-based systems and improve organizational performance. In this course we examine clinical information systems in the context of (A) operational and strategic information needs, (B) information technology and analytic tools for workflow design, and (C) subsequent implementation of clinical information systems in patient care. Legal and ethical issues are explored. The student learns the process of "plan, design, implement" through hands-on applications to select CIS problems, while at the same time gaining insights and understanding of the impacts placed on patients and health care providers.

EECS / SYBB 459 (3 Credit Hours) - Bioinformatics for Systems Biology

Description of omic data (biological sequences, gene expression, protein-protein interactions, protein-DNA interactions, protein expression, metabolomics, biological ontologies), regulatory network inference, topology of regulatory networks, computational inference of protein-protein interactions, protein interaction databases, topology of protein interaction networks, module and protein complex discovery, network alignment and mining, computational models for network evolution, network-based functional inference, metabolic pathway databases, topology of metabolic pathways, flux models for analysis of metabolic networks, network integration, inference of domain-domain interactions, signaling pathway inference from protein interaction networks, network models and algorithms for disease gene identification, identification of dysregulated subnetworks network-based disease classification.

EPBI 431 (3 Credit Hours) - Statistical Methods I

Application of statistical techniques with particular emphasis on problems in the biomedical sciences. Basic probability theory, random variables, and distribution functions. Point and interval estimation, regression, and correlation. Problems whose solution involves using packaged statistical programs. First part of year-long sequence.

EPBI 451 (3 Credit Hours) - A Data-Driven Introduction to Genomics and Human Health

This course introduces the foundational concepts of genomics and genetic epidemiology through four key principles: 1) Teaching students how to query relational databases using Structure Query Language (SQL); 2) Exposing students to the most current data used in genomics and bioinformatics research, providing a quantitative understanding of biological concepts; 3) Integrating newly learned concepts with prior ones to discover new relationships among biological concepts; and 4) providing historical context to how and why data were generated and stored in the way they were, and how this gave rise to modern concepts in genomics.

EPBI 457 (3 Credit Hours) - Current Issues in Genetic Epidemiology: Design and Analysis of Sequencing Studies

Statistical methods to deal with the opportunities and challenges in Genetic Epidemiology brought about by modern sequencing technology. Some computational issues that arise in the analysis of large sequence data sets will be discussed. The course includes hands-on experience in the analysis of large sequence data sets, in a collaborative setting.

EPBI 471 (3 Credit Hours) - Machine Learning & Data Mining

Vast amount of data are being collected in medical and social research and in many industries. Such big data generate a demand for efficient and practical tools to analyze the data and to identify unknown patterns. We will cover a variety of statistical machine learning techniques (supervised learning) and data mining techniques (unsupervised learning), with data examples from biomedical and social research. Specifically, we will cover prediction model building and model selection (shrinkage, Lasso), classification (logistic regression, discriminant analysis, k-nearest neighbors), tree-based methods (bagging, random forests, boosting), support vector machines, association rules, clustering and hierarchical clustering. Basic techniques that are applicable to many of the areas, such as cross-validation, the bootstrap, dimensionality reduction, and splines, will be explained and used repeatedly. The field is fast evolving and new topics and techniques may be included when necessary.

EPBI 515 (3 Credit Hours) - Secondary Analysis of Large Health Care Data Bases

Development of skills in working with the large-scale secondary data bases generated for research, health care administration/billing, or other purposes. Students will become familiar with the content, strength, and limitations of several data bases; with the logistics of obtaining access to data bases; the strengths and limitations of routinely collected variables; basic techniques for preparing and analyzing secondary data bases and how to apply the techniques to initiate and complete empirical analysis.

MPHP 405 (3 Credit Hours) - Statistical Methods in Public Health

This one-semester survey course for public health students is intended to provide the fundamental concepts and methods of biostatistics as applied predominantly to public health problems. The emphasis is on interpretation and concepts rather than calculations. Topics include descriptive statistics; vital statistics; sampling; estimation and significance testing; sample size and power; correlation and regression; spatial and temporal trends; small area analysis; statistical issues in policy development. Examples of statistical methods will be drawn from public health practice. Use of computer statistical packages will be introduced.

MPHP 458 / EPBI 458 (3 Credit Hours) - Statistical Methods for Clinical Trials

This course will focus on special statistical methods and philosophical issues in the design and analysis of clinical trials. The emphasis will be on practically important issues that are typically not covered in standard biostatistics courses. Topics will include: randomization techniques, intent-to-treat analysis, analysis of compliance data, equivalency testing, surrogate endpoints, multiple comparisons, sequential testing, and Bayesian methods.

MPHP 467 / EPBI 467 (1-3 Credit Hours) - Comparative and Cost Effectiveness Research

Comparative effectiveness research is a cornerstone of healthcare reform. It holds the promise of improved health outcomes and cost containment. This course is presented in a convenient 5-day intensive format in June. There are reading assignments due prior to the 1st session. Module A, Days 1-2: Overview of comparative effectiveness research (CER) from a wide array of perspectives: individual provider, institution, insurer, patient, government, and society. Legal, ethical and social issues, as well as implications for population and public health, including health disparities will also be a component. Module B, Day 3: Introduction to the various methods, and their strengths, weaknesses and limitations. How to read and understand CER papers. Module C, Days 4-5: Cost-Effectiveness Analysis. This will cover costing, cost analysis, clinical decision analysis, quality of life and cost-effectiveness analysis for comparing alternative health care strategies. Trial version of TreeAge software will be used to create and analyze a simple cost-effectiveness model. The full 3-credit course is for taking all 3 modules. Modules A or C can be taken alone for 1 credit. Modules A and B or Modules B and C can be taken together for a total of 2 credits. Module B cannot be taken alone. If taking for 2 or 3 credits, some combination of term paper, project and/or exam will be due 30 days later.

MPHP / EPBI 468 (3 Credit Hours) - The Continual Improvement of Healthcare: An Interdisciplinary Course

This course prepares students to be members of interprofessional teams to engage in the continual improvement in health care. The focus is on working together for the benefit of patients and communities to enhance quality and safety.

CRSP 401 (3 Credit Hours) - Introduction to Clinical Research Summer Series

This course is designed to familiarize one with the language and concepts of clinical investigation and statistical computing, as well as provide opportunities for problem-solving, and practical application of the information derived from the lectures. The material is organized along the internal logic of the research process, beginning with mechanisms of choosing a research question and moving into the information needed to design the protocol, implement it, analyze the findings, and draw and disseminate the conclusion(s).

ACCT 401H (3 Credit Hours) - Accounting for Healthcare

This course exposes MSM-Healthcare students to ways that accounting information helps managers monitor and improve the performance of organizations. After studying the nature and limitations of accounting information, we explore how financial, cost, tax, and regulatory accounting are used by various stakeholders. From this effort, students become comfortable evaluating accounting recognition, valuation, classification, and disclosure issues that arise in an executive's career. Finally, we study how accounting is a feedback loop that enables managers to assess consequences of past decisions and think about what should be done going forward. Feedback loops, in turn, can give rise to observer effects and/or unpredictable outcomes. Course content contributes to achieving the program goal of strengthening a student's ability to promote positive change in healthcare.

HSMC 412 (3 Credit Hours) – Lean Service Operations

The course will be delivered over four modules: 1) Service Process Blueprints, 2) Managing Capacity in Service Systems, 3) Mapping the Value Stream (current and future state), and 4) Inventory Management in Service Systems. The topics considered are viewed in the context of healthcare management, financial services, insurance firms, call centers, back-office operations, and other applications. Through these topics, the participants will be trained in tools that help them understand customers' expectations and needs and to identify service system characteristics that can meet these needs. We will learn how to identify errors in service and troubleshoot these problems by identifying the root causes of errors. Subsequently, we will discuss how one can modify the product or service design so as to prevent defects from occurring. Finally, we will establish performance metrics that help evaluate the effectiveness of the Lean system in place. These efforts will result to improved quality. This course is not oriented toward specialists in service management. Its goal is to introduce you to the environments and help you appreciate the problems that operations managers are confronted with. Then, we will typically discuss some system specifics and emphasize the principles and issues that play key role in their management.

HSMC 420 (3 Credit Hours) – Health Finance

Exploration of economic, medical, financial and payment factors in the U.S. healthcare system sets the framework for the study of decisions by providers, insurers, and purchasers in this course. The mix of students from various programs and professions allows wide discussion from multiple viewpoints.

HSMC 456 (3 Credit Hours) – Health Policy and Management Decisions

This seminar course combines broad health care policy issue analysis with study of the implications for specific management decisions in organizations. This course is intended as an applied, practical course where the policy context is made relevant to the individual manager.

Appendix III

Electives by Domain of Academic Interest (pick 2 from 1 domain)

Health Informatics Management Concentration (Health Care Professionals)	Clinical Informatics Concentration (MPH/PhD PQHS Students)	Bioinformatics Concentration (MPH/PhD PQHS Students)
EBME 473 – Introduction to Clinical Information Systems	EPBI 515 – Large database / Healthcare analytics	EPBI 451 – A Data-Driven Introduction to Genomics and Human Health
CRSP 401 – Introduction to Clinical Research OR EPBI 431 – Statistical Methods 1	EPBI 471 – Machine learning and data mining	EPBI 471 – Machine learning and data mining
EPBI 471 – Machine Learning/Data Mining	EBME 473 / SYBB 431 – Introduction to Clinical Information Systems	EECS / SYBB 459 – Bioinformatics for Systems Biology
HSMC 420 – Health Finance	CRSP 401 – Introduction to Clinical Research OR EPBI 431 – Statistical Methods 1 OR MPHP 405 – Statistical Methods in Public Health	
HSMC 412 – Lean Service Operations	MPHP 467 – Comparative and Cost Effectiveness Research	
HSMC 456 – Health Policy and Management Decisions	MPHP 468 – The Continual Improvement of Healthcare: An Interdisciplinary Course	
	MPHP 458 – Statistical Methods for Clinical Trials	



SCHOOL OF MEDICINE
CASE WESTERN RESERVE
UNIVERSITY

Jonathan L. Haines, PhD
Professor and Chairman
Department of Epidemiology and Biostatistics
Mary W. Sheldon, MD Professor of Genomic Sciences
Director, Institute for Computational Biology

Wolstein Research Building
Suite 2-529
2103 Cornell Avenue
Cleveland, Ohio 44106

March 13, 2017

Phone 216.368.3197

David Kaelber, MD, PhD, MPH
Professor of Internal Medicine, Pediatrics, Population and Quantitative Health Sciences
Academic Program Director, CWRU Center for Education and Training in Health Informatics
Clinical Informatics Fellowship Director, CWRU Clinical Informatics Fellowship Program

Dear David,

The Department of Epidemiology & Biostatistics fully supports this proposal for a new certificate in Health Informatics. As you may know, the department is in the process of changing its name to Population and Quantitative Health Sciences, a change that will be officially announced in the next month. The certificate in Health Informatics will fill a significant void that currently exists here at CWRU. I think this is an important program for the University, and am prepared to provide the necessary resources of faculty and staff time to make it a success. Students in this certificate program are welcome to take the departmental courses identified in this proposal. As indicated in the proposal, health informatics is represented in courses across the University but currently there is no entry point at CWRU for healthcare professionals and researchers to gain exposure through a structured and curated program. This new certificate is administered by my department and housed in the Institute for Computational Biology (which I direct). Importantly it is fully collaborative with about a half dozen other departments across CWRU and will provide current graduate students, healthcare professionals, and researchers the opportunity to further their knowledge of this diverse and ever expanding field.

I am fully committed to supporting this new certificate program.

Sincerely,

A handwritten signature in cursive script that reads "Jonathan L. Haines".

Jonathan L. Haines, PhD
Professor and Chairman
Department of Population & Quantitative Health Sciences (né Epidemiology and Biostatistics)
Director, Institute for Computational Biology
Mary W. Sheldon, MD Professor of Genomic Sciences
Case Western Reserve University School of Medicine



CENTER FOR
HEALTH CARE
RESEARCH AND POLICY

Doug Einstadter, MD, MPH
Professor of Medicine,
Epidemiology & Biostatistics

E-mail: deinstadter@metrohealth.org
Phone: 216-778-3902
Fax: 216-778-3945

March 13, 2017

David Kaelber, MD, PhD, MPH
Professor of Internal Medicine-Pediatrics,
Population and Quantitative Health Sciences
Academic Program Director,
CWRU Center for Education and Training in Health Informatics
Director, CWRU Clinical Informatics Fellowship Program

Dear Dr. Kaelber: *David*

I wish to express my enthusiasm and support for the new certificate program in Health Informatics that you have proposed at CWRU. The proposed certificate program undoubtedly will appeal to students across many disciplines and will enhance their educational experience at CWRU. I am pleased to include my course, CRSP 401 (Introduction to Clinical Research Summer Series) as a relevant option for students in both the Health Informatics Management Concentration and the Clinical Informatics Concentration. I welcome students interested in either of these concentrations to take CRSP 401. Additionally, I expect that the Health Informatics Certificate program also will be of great interest to students enrolled in the CRSP program.

Sincerely,

Douglas Einstadter
Professor of Medicine, Epidemiology & Biostatistics
Center for Health Care Research and Policy
CWRU at MetroHealth Medical Center

March 14, 2017

David Kaelber, MD, PhD, MPH
Professor of Internal Medicine, Pediatrics, Population and Quantitative Health Sciences
Academic Program Director,
CWRU Center for Education and Training in Health Informatics
Clinical Informatics Fellowship Director,
CWRU Clinical Informatics Fellowship Program

Dear Professor Kaelber

I am delighted with the development of the proposed certificate in Health Informatics through the Institute for Computational Biology and am writing to provide my enthusiastic support for this initiative. Indeed, I have been involved in the process of developing this program and am particularly excited with the inter-professional approach and collaborative approach used in the development of the program.

My expectations are that there will be a number of potential students interested in this program and certainly even graduate students from Biomedical Engineering, the Translational Health Track, or the Masters of Engineering and Management and other programs I am affiliated with to pursue this certificate. My sense is that EBME 473 (Fundamentals of Clinical Information Systems) – a course I teach every fall -- would be an excellent elective for students interested in the Clinical Informatics Concentration of the proposed certificate. I would welcome students from this program to take my course.

As a person who works with many graduate students with an interest in Informatics I am pleased to support this initiative and am excited about the doors this can open for our graduate students. If you have any questions or would like to discuss this in more detail, please call me at 216.368.6970.

Sincerely,



Colin Drummond, Ph.D, MBA
Professor and Assistant Chair



CASE WESTERN RESERVE
UNIVERSITY
CASE SCHOOL OF ENGINEERING

Electrical Engineering & Computer Science
Case Western Reserve University
10900 Euclid Avenue, Cleveland, Ohio 44106
Phone: +1 (216) 368-2963
e-mail: mehmet.koyuturk@case.edu
<http://compbio.case.edu/koyuturk/>

March 14, 2017

David Kaelber, MD, PhD, MPH
Professor of Internal Medicine, Pediatrics, Population and Quantitative Health Sciences
Academic Program Director, CWRU Center for Education and Training in Health Informatics
Clinical Informatics Fellowship Director, CWRU Clinical Informatics Fellowship Program

Dear David,

I wholeheartedly support the ICB's new certificate program in Health Informatics. I believe that students interested in the Bioinformatics Concentration of the certificate program would benefit greatly from taking my course SYBB 459 (Bioinformatics for Systems Biology) and I welcome students from this certificate program to take my course. I believe that this certificate program will be useful for students throughout the School of Medicine, including graduate students in my department.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Mehmet Koyutürk'.

Mehmet Koyutürk, Ph.D.
T. & A. Schroeder Associate Professor of Computer Science and Engineering

April 28, 2017

Case Western Reserve University
10900 Euclid Ave.
Cleveland, Ohio 44106-7235

David Kaelber, MD, PhD, MPH
Professor of Internal Medicine,
Pediatrics, Population and Quantitative Health Sciences
Academic Program Director,
CWRU Center for Education and Training in Health Informatics
Clinical Informatics Fellowship Director,
CWRU Clinical Informatics Fellowship Program

Phone: 216/368-3824
Fax: 216/368-4785
E-mail: simon.peck@case.edu
<http://weatherhead.case.edu>

Dear David,

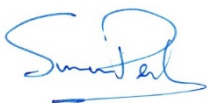
I am pleased to write this letter in support of the proposal certificate in Health Informatics from the Institute of Computational Biology (ICB). I believe this new track will provide students a unique opportunity to expand their quantitative skills and understanding. I particularly like that this proposal is a collaborative effort that spans both departments and schools here at CWRU in an attempt to maximize current resources. I look forward to continuing to work with the ICB and the certificate's Graduate Education Committee to continue to identify further opportunities for collaboration.

This certificate program's Health Informatics Management Concentration utilizes several of our courses as electives: including HSMC 421, HSMC 420, HSMC 412, HSMC 456, and ACCT 401H. The 2 required core courses for the certificate program will also utilize courses taught by Dr. Alan Dowling. I approve the use of these courses as electives and the 2 required core courses for the proposed certificate. I anticipate some of our graduate students will seek this certificate.

Regarding tuition, for non-degree students, the default CWRU university-wide standard tuition flows will be maintained. For student enrolled in a degree program outside of the Weatherhead School of Management (WSOM), 37.5% of the WSOM per credit tuition for the 2 core courses (home based in WSOM) will be billed by WSOM to the student's home school. In recognition of the School of Medicine's financial support for developing and maintaining this certificate program, up to 4 new MD students per year can be enrolled in the certificate program and take the 2 core courses without any tuition sharing.

I look forward to the approval of this exciting new certificate program.

Sincerely,



Simon Peck
Associate Dean of MBA Programs

Memorandum

To: Pamela B. Davis, MD, PhD
Dean, School of Medicine
Case Western Reserve University

From: Phoebe Stewart, PhD
Chair, Faculty Council

Re: New Graduate Certificate in Health Informatics

Date: October 11, 2017

At its September 18, 2017 meeting, the Faculty Council voted to recommend approval of a new Graduate Certificate in Health Informatics. Dr. Mendel Singer, Associate Professor and Vice Chair for Education in the Department of Population and Quantitative Health Sciences, presented the proposal to the Faculty Council.

The proposed certificate will be sponsored by the Institute of Computational Biology. Jonathan Haines is the Director of the institute and Chair of the Department of Population and Quantitative Health Sciences. The program includes faculty from multiple schools and affiliated institutions. As noted by Dr. Singer while there is a fast growing demand for people trained in health informatics, there is a major shortage of people who have the actual training and experience.

A motion was made and seconded to approve the new graduate certificate. A vote was taken, 28 members were in favor, 2 were opposed, and none abstained. The motion passed.

After your review, I hope you will join me in recommending approval of the Graduate Certificate in Health Informatics.

Please let me know if I can provide any additional information.

Thank you for your consideration.

Sincerely,



Phoebe L. Stewart, Ph.D.
Faculty Council Chair
Professor of Pharmacology
Case Western Reserve University School of Medicine

cc: Nicole Deming, JD, MA

Pamela B. Davis, MD, PhD
Dean
Senior Vice President for Medical Affairs
Office of the Dean

10900 Euclid Avenue
Cleveland, Ohio 44106-4915

Visitors and Deliveries
Biomedical Research Bldg., Room 113

phone 216.368.2825
fax 216.368.2820

casemed.case.edu

October 24, 2017

Juscelino Colares
Chair, Faculty Senate
c/o Rebecca Weiss
Secretary of the Faculty Senate
Adelbert Hall

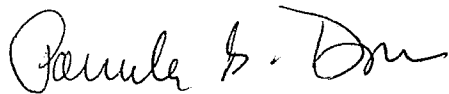
Dear Professor Colares:

On behalf of the Faculty of Medicine, I forward the Department of Bioethics' proposal to change the degree name from "MA in Bioethics" to "MA in Bioethics and Medical Humanities". This degree name change more accurately describes the department's curricular offerings and student educational experience in the program. The degree name change was discussed at department meetings and is supported by the department faculty. The proposed change has been recommended for approval by the School of Medicine's Faculty Council, on September 18, 2017, according to established School of Medicine procedures.

I support approval of this department's degree name change.

Please let me know if I can provide additional information.

Sincerely,



Pamela B. Davis, MD, PhD

cc: Phoebe Stewart, Chair, Faculty Council
Mark Aulisio, Chair, Department of Bioethics
Nicole Deming, Assistant Dean for Faculty Affairs and Human Resources



Memorandum

To: Pamela B. Davis, MD, PhD
Dean, School of Medicine
Case Western Reserve University

From: Phoebe Stewart, PhD
Chair, Faculty Council

Re: Bioethics Degree Name Change

Date: October 11, 2017

At its September 18, 2017 meeting, the Faculty Council voted to recommend approval of the Bioethics Department's request for a degree name change from "MA in Bioethics" to "MA in Bioethics and Medical Humanities". Dr. Eileen Anderson-Fye, Director of the Bioethics MA Program and Associate Professor of Bioethics, presented the proposal to the Faculty Council.

The proposed degree name more accurately reflects the MA program's curricular offerings and the education students are receiving in Bioethics and Humanities. The synergy and merging of these two areas is indicative of a very strong national trend. Humanities and social medicine have been part of the department for many years. New faculty members have been brought on board to provide training at the intersection of bioethics and medical humanities.

A motion was made and seconded to approve the degree name change. A vote was taken, 29 members were in favor, none opposed, and one abstained. The motion passed.

After your review, I hope you will join me in recommending approval of the bioethics degree name change.

Please let me know if I can provide any additional information.

Thank you for your consideration.

Sincerely,



Phoebe L. Stewart, Ph.D.
Faculty Council Chair
Professor of Pharmacology
Case Western Reserve University School of Medicine

cc: Nicole Deming, JD, MA



CASE WESTERN RESERVE
UNIVERSITY

SCHOOL OF MEDICINE

Department of Bioethics
Case Western Reserve University
School of Medicine
10900 Euclid Avenue
Cleveland, Ohio 44106-4976
Phone: 216-368-2259
Fax: 216-368-8713

August 9, 2017

Members of the School of Medicine Faculty Council:

The Bioethics department is requesting a degree name change from M.A. in Bioethics to M.A. in Bioethics and Medical Humanities. Case Western Reserve University's Master's of Arts in Bioethics degree program has long been among the nation's leaders in providing students a rich educational experience that includes a broad range of interdisciplinary courses along with clinical rotations. In addition to two core foundation classes, the program allows students to focus on particular areas of academic interest through approved elective courses spanning 10 disciplines within four schools across the university.

In 1998, three years after Case Western Reserve launched its master's program, the American Society for Bioethics and Humanities emerged from the consolidation of three existing professional organizations—two focused on bioethics, and the third on “health and human values.” The new association's name reflected the significant synergistic relationship between ethics and humanities, both in terms of the scholarly disciplines themselves and also as they applied practically in health care settings. In fact, Case Western Reserve's program has included content drawn from the humanities for many years—as have graduate degree offerings at other universities. By and large, however, the nomenclature for these programs has remained unchanged.

As part of its 2014–2015 strategic planning process, faculty in the Department of Bioethics evaluated both the content of its educational programs and the terminology used to describe it. These conversations ultimately resulted in a consensus that medical humanities should be more explicitly designated within the M.A. program's curriculum—and that the name of the degree should reflect this change. Specifically, we are writing to request the degree name be changed to M.A. in “Bioethics and Medical Humanities.”

In 2016, the department added a new track within the MA program, Medicine, Society and Culture (MSC). This concentration includes a new core course, BETH410, Foundations of Medicine, Society and Culture; it is required for all MSC students and open to any student in the Bioethics M.A. program. This class provides intensive review of scholarly themes and compelling issues in medical humanities and social medicine. As part of development of the MSC track's foundational course, bioethics faculty also updated the content of the foundations courses required of all M.A. students; these now include clearly articulated medical humanities programming, as well as precepting in medical humanities as part of their clinical experiences. Additional courses in medical humanities have been added to the department's elective offerings.

These discussions and revisions within our department's educational offerings reflect a larger academic trend within the field, in part driven by growing national recognition of the value and importance of medical humanities to health care and bioethics—both for patients and practitioners alike. In 2015, for example, the University of Rochester launched a new master's program in

medical humanities and the University of North Carolina at Chapel Hill's inaugurated one in Medicine, Literature and Culture. That same year Johns Hopkins University announced a new undergraduate major in medicine, science and humanities, and this fall the Northeast Ohio Medical University offers its own new program, Master of Arts in Medical Ethics and Humanities.

Other programs include:

Albert Einstein College of Medicine

Einstein-Cardozo Masters of Science in Bioethics and Montefiore-Einstein Certificate in Bioethics and Medical Humanities

Michigan State University

Master of Arts in Bioethics, Humanities, and Society

Northwestern University

Master of Arts in Medical Humanities and Bioethics

University of Louisville

The Interdisciplinary Master of Arts in Bioethics and Medical Humanities

University of South Florida

Masters Program in Medical Humanities and Bioethics

In short, this name change more accurately reflects the MA program's curricular offerings. It also reflects national developments and, finally, represents an important move toward continuing to attract outstanding students in an increasingly competitive environment.

We appreciate your consideration of this proposal, and stand ready to provide any additional information that may be of value in your deliberations.

Sincerely,



Mark P. Aulisio, PhD
Susan E. Watson Chair and Professor of Bioethics



Eileen P. Anderson-Fye, EdD
Associate Professor of Bioethics
Director, Bioethics M.A. Program



Graduate Student Council Resolution 2017.2

To Denounce and Condemn All Acts of Racism, Violence and Bigotry

Presented on September 6th, 2017

Whereas the Graduate Student Council works to eliminate obstacles to academic and professional success for all graduate students;

Whereas recent demonstrations in Charlottesville, VA on August 12, 2017, with white supremacists publicly opposing social progress and compromising the safety of historically marginalized peoples, have compromised the safety of marginalized peoples and opposed social progress have caught the attention of the national media and student governments across the nation;

Whereas these demonstrations, though widely covered in the national media and discussed across college campuses, have a long precedent in this nation and are not inherently new or unique;

Whereas it is the responsibility of Graduate Student Council to advocate on behalf of all graduate students and to promote their dignity and worth;

Whereas the contributions of students are unique and essential because of – and not despite – their experiences and identities;

Whereas tenets of racial and ethnic superiority, purity, and hierarchy are incommensurate with the values of Graduate Student Council and Case Western Reserve University; and

Whereas critical engagement with history, politics, social trends, and diverse cultures is paramount to the progress of the human condition.

Therefore, by the Graduate Student Council acting in full session, be it

Resolved the Graduate Student Council will uphold Case Western Reserve University's core values of Diversity and Inclusion for all groups of people, regardless of their ethnicity, religion, sexual orientation, gender identity/expression, political affiliation, or disability;

Resolved that the Graduate Student Council formally condemns the violent demonstrations and acts not only in Charlottesville, but around the globe throughout time;

Resolved that the Graduate Student Council will take actionable measures that promote celebration of diversity and that rebuke any threat to the safety of marginalized groups of people;

Resolved that the Graduate Student Council will engage the campus and community in meaningful dialogues surrounding issues of diversity and inclusion; and

Resolved that the Graduate Student Council will advocate tirelessly on behalf of graduate students' needs and desires related to increasing representation and access on campus.

Respectfully submitted on behalf of the Graduate Student Council by:

Rita Tohme

President, Graduate Student Council
PhD Candidate, Department of Molecular Medicine

Brandon Benjamin

Vice President for Diversity and Inclusion, Graduate Student Council
M.A. Student, Department of Cognitive Science

From the Minutes of the 12-8-14 Senate Executive Committee Meeting

Discussion of Questions re Tenure

Professor Susan Case had circulated a list of questions to members of the Executive Committee prior to the meeting. The questions related to the subject of tenure. Prof. Case said that her intent had been three-fold; to discuss tenure and its value; to discuss the distinctions between tenure and non-tenure track faculty; and lastly, to discuss what she sees as being different hiring practices for tenure and non-tenure track faculty. Deputy Provost Lynn Singer reported that hiring practices are the same. There are differences in criteria for promotion and these are detailed in the Faculty Handbook. Principles of academic freedom pertain to faculty of all ranks. Prof. Case said that WSOM candidates for non-tenure track positions do not receive the same faculty vetting that candidates for tenure-track positions receive. Prof. Case is also concerned about the increase in non-tenure track faculty at the university. Provost Baeslack suggested that Prof. Case meet with Deputy Provost Lynn Singer and Lois Langell to discuss the WSOM-specific issues. Prof. Savinell said that the Executive Committee is not the appropriate body to discuss these topics in depth. He suggested that Prof. Case and other interested members of the Executive Committee meet with him and the Senate vice chair to discuss how to proceed. They may want to consider establishing an ad hoc committee. Professors Peter Harte, Sandy Russ and Carol Musil expressed interest in joining the discussion. *Attachment*

From the Minutes of the 2-10-15 Senate Executive Committee Meeting

Report from Subcommittee Discussing Tenure Issues

Professor Sandy Russ reported on the discussion from the subcommittee considering tenure-related issues. The subcommittee made the following recommendations:

1. Refer to Committee on Faculty Personnel – monitoring the required percentage of tenure-track to non-tenure track faculty in constituent faculties.
2. Refer to Committee on Faculty Personnel - when search committees for faculty hiring should be mandatory.
3. Refer to the Provost's office - monitoring compliance with affirmative action policies when hiring tenure-track and non-tenure track faculty.

The Executive Committee agreed to refer these matters as recommended by the committee.

Faculty Senate Meeting
Wednesday, November 28, 2017
3:30p.m. – 5:30p.m. – Toepfer Room, Adelbert Hall,

3:30 p.m.	Approval of Minutes from the October 18, 2017, Faculty Senate Meeting, <i>attachment</i>	Juscelino Colares
3:35 p.m.	President and Provost's Announcements	Barbara Snyder Bud Baeslack
3:40 p.m.	Chair's Announcements	Juscelino Colares
3:45 p.m.	Report from the Executive Committee	Cynthia Beall
3:50 p.m.	Secretary of Corporation Report	Juscelino Colares
3:55 p.m.	Proposed Revisions to CSE By-Laws, <i>attachment</i>	Ken Ledford Vikas Prakash
4:05 p.m.	Recommendations from Senate Personnel Committee on Faculty Credentials Policy, <i>attachment</i>	Christine Cano
4:10 p.m.	FSCUL Comprehensive External Review of Libraries- Exemption for SOM Library, <i>attachment</i>	Juscelino Colares
4:20 p.m.	Graduate Studies Committee: Degree Name Change- MA in Bioethics to MA in Bioethics and Medical Humanities, <i>attachment</i>	Mark Aulisio
4:25 p.m.	Graduate Studies Committee: Graduate Certificate in Health Informatics, <i>attachment</i>	Mendel Singer
4:35 p.m.	Graduate Studies Committee: MA in Financial Integrity- Proposal for New Off – Campus Locations, <i>attachment</i>	Bob Strassfeld
4:45 p.m.	Graduate Student Council "Charlottesville" Resolution, <i>attachment</i>	Juscelino Colares
4:55 p.m.	CUE Update	Kimberly Emmons
5:05 p.m.	Report from Conciliation Counselor, <i>attachment</i>	Bill Leatherberry
5:15 p.m.	Report from University Health and Counseling Services	