Can I Be the Good Cop this Time?
Building Trust without Sacrificing Compliance
John Hughes, CCEP
Casey Woods, Esq.

Say Hello to the Bad Guy

• “Vicious Compliance”
• How to manage competing roles
• Focus on Strengths
• Key steps towards simple solutions
“Vicious Compliance”

The Seven Essential Elements of the US Sentencing Guidelines

- Conducting internal monitoring and auditing
- Implementing written standards and procedures
- Designating a compliance officer or contact
- Conducting appropriate training and education
- Responding promptly to detected offenses and taking corrective action
- Maintaining open lines of communication
- Enforcing well-publicized disciplinary standards
Can I Be the Good Cop this Time?

Automation is an Option

Get Your Story Straight
Balancing Competing Roles

Karma Police

- Lead with the strengths
- Focus on the positives
- Tailor your Training to your audience
- Tell people what they are doing RIGHT
Don’t Fake It

- Be honest, and keep expectations realistic
- Encouragement goes a long way
- Let them know that you are a resource

Complaint Department

University Ethics and Compliance

Complaint Received

Does the issue involve an individual?

Is there a policy that has been violated?

Does the issue involve a policy?

Start an investigation

Investigate

Seek in a Manager

Seek in an Investigator
Can I Be the Good Cop this Time?

Just the FAQs

Contract Management FAQs

- What is the MedTrak system?
- How do I get access to the MedTrak database system?
- How do I register for training?

Report a concern

- Report a breach to the compliance office
- Make a report

Carrot vs. Stick
Thought Police

Questions?
Can I Be the Good Cop this Time?

John Hughes, CCEP
Director of Ethics, Training, and Investigations/Ethics Liaison Officer
732-743-3344
jhughes@uec.rutgers.edu

Casey Woods, Esq.
Ethics Training Officer
732-743-3344
caseywoo@uec.rutgers.edu

RU Ethics  @RutgersEthics