The Compliance Officer’s Guide to Keeping Calm and Carrying On:

Strategies and Tools for Thriving in a Stressful Profession

Lisa Beth Lentini

• CEO and Founder, Lumen Worldwide Endeavors
• Certified as a Health and Wellness Coach NBC-HWC and in Mindfulness and Meditation

Diana Trevley

• Sr. Counsel, Global Compliance at CyberArk
• Certified Yoga Instructor
## Agenda

- Stress and the compliance officer
- Key elements to achieving well-being
  - Mindset
  - Mindfulness
  - Gratitude
- Putting it into practice

### How Much Stress Do You Have In Your Life?

- None. Just here for the CEUs.
- Some. The typical challenges that come with work and life.
- More than I’d like. I’m looking for some suggestions.
- A lot. It’s time to make some major changes.
- My life is a dumpster fire.
Stress Overload
What Do You Find To Be the Most Stressful Aspect of Your Job?

- Too much work and responsibility, not enough time.
- Office politics (aka, I hate my boss)
- Every day I live in fear of a compliance failure for which I will be blamed.
- I feel like I’m not making a difference at the company.
- Other
When Those Risks Aren’t Mitigated....

Your Amazing Brain

Neocortex:
Rational or Thinking Brain

Limbic Brain:
Emotional or Feeling Brain

Reptilian Brain:
Instinctual or Dinosaur Brain
**Fixed Mindset vs. Growth Mindset**

Based on the work of Dr. Carol Dweck

I believe that my [Intelligence, Personality, Character] is inherent and static. Locked-down or fixed. My potential is determined at birth. It doesn’t change.

I believe that my [Intelligence, Personality, Character] can be continuously developed. My true potential is unknown and unknowable.

**Fixed Mindset**

**Growth Mindset**
Why Mindset Matters

You cannot reach peak performance with a fixed mindset.

“Do not underestimate your abilities. That is your boss’s job.”
- Unknown

DO

- Embrace challenges
- Praise people for hard work and effort
- Support efforts to Improve
- Take setbacks in stride

DON’T

- Treat challenges and setbacks as negative events
- Praise intelligence over hard work
- Avoid giving people opportunities to grow
- Tell people that something “just isn’t their strength”
Fostering a Growth Mindset at Your Company

- Tell stories of change
- Introduce quotes into training and communications materials
- Frame setbacks in compliance as learning opportunities
- Praise the desire to learn and improve
Mindfulness as a SuperPower

How Mindful Are You?

- The Dalai Lama calls ME for advice.
- I’m pretty busy but I try to focus on just one thing at a time, if that counts as mindfulness.
- I like the idea of mindfulness, but I haven’t really found a way to incorporate it into my real-life life.
- I schedule mindful activities on a daily basis.
- Will you stop asking all these questions? I’m trying to multitask!
WHY BE MINDFUL AT WORK?

• Your own well-being
• Improved productivity and work performance
• Fosters a more ethical environment
Making Time for Mindfulness at Work

• Schedule it
• Examples
  • 10 deep breaths at your desk
  • 2-5 minute meditation prior to meetings
  • Daily rituals

Being Mindful as a Team

• Connect as a team to have positive interactions- even if you can’t connect in person
• Mindful Meetings
• Create space
Gratitude

How Much Gratitude is in Your Life?

1. Every day is Thanksgiving for me.
2. I keep a gratitude journal.
3. I think I’m pretty grateful, but I don’t track it or anything.
4. I haven’t really given much thought to gratitude.
5. I’ll be grateful when you stop asking me all these questions.
Why Be Grateful at Work

- Strong link between practicing gratitude and health
- Fosters new/stronger relationships
- Enhances ethical conduct

Easy Implementation

- Keep a gratitude journal
- When someone asks you how you are...
  
  ....Instead of saying “busy” - say something you are grateful for

- Its sunny outside!
- I started learning piano!
- I supported a small business!
- Taco Tuesday!
The Power of Saying Thank You

And remember.....

KEEP CALM AND COMPLIANCE ON