



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

*Strategies and Tools for Thriving in a  
Stressful Profession*

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## This Session Uses Polling

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## Agenda

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



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## 508: 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.

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### Corporate Stress

- ✓ Longer hours, more job responsibilities
- ✓ Never offline
- ✓ "Busy" = "Good"
- ✓ Office politics
- ✓ Brilliant jerks rewarded
- ✓ Pressure from internal and external stakeholders
- ✓ At-will employment = Uncertainty



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## Additional Stressors Compliance Officers Face

- Managing risk and uncertainty
- Massive responsibility
- Scope creep
- Unrealistic expectations
- Lack of appreciation
- Isolation
- What else?

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## 508: 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

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A woman with long dark hair, wearing a light blue button-down shirt, is shown from the chest up. She has her eyes closed and is covering her face with both hands, suggesting distress or exhaustion. The image is framed within a white circular border. The background is a dark, textured surface with abstract, painterly strokes in shades of blue, orange, and white. Overlaid on this background is fragmented, semi-transparent text in various colors (orange, white, blue) and orientations, including words like "emotional", "strain or", "adverse or demanding circumstances", "stress", "employees", and "phys".



The diagram illustrates the human brain with three distinct regions highlighted and labeled:

- Neocortex:** Rational or Thinking Brain (indicated by a blue arrow pointing to the outer layer of the brain).
- Limbic Brain:** Emotional or Feeling Brain (indicated by an orange arrow pointing to the inner structures of the brain).
- Reptilian Brain:** Instinctual or Dinosaur Brain (indicated by a red arrow pointing to the base of the brain).



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**FIXED MINDSET VS. GROWTH MINDSET**  
Based on the work of Dr. Carol Dweck

<p>I believe that my [<b>Intelligence, Personality, Character</b>] is inherent and static. Locked-down or fixed. My potential is determined at birth. It doesn't change.</p>	<p>I believe that my [<b>Intelligence, Personality, Character</b>] can be continuously developed. My true potential is unknown and unknowable.</p>
<p>Fixed Mindset</p> 	 <p>Growth Mindset</p>

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## Why Mindset Matters

You cannot reach peak performance with a fixed mindset.



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## Achieving a Growth Mindset



- Embrace challenges (including stress)
- Be realistic about how long it takes to build new skills
- Praise yourself – and others - for hard work and effort – *not* intelligence
- Support efforts to improve
- Take setbacks in stride
- Maintain positivity and optimism (borrow it from others if needed)

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## Fostering a Growth Mindset at Your Company

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

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## What Mindfulness Is ...and Isn't

Mindfulness is paying attention in a particular way; on purpose, in the moment, and non-judgmentally. (Dr. Jon Kabat-Zinn)

- It's a practice, not a quality
- You can do almost **anything** mindfully
- Mindfulness is not:
  - Stopping your thoughts or emotions
  - A get-happy-quick scheme

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## 508: 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-live life.

I schedule mindful activities on a daily basis.

Will you stop asking all these questions? I'm trying to answer all my emails under the table.

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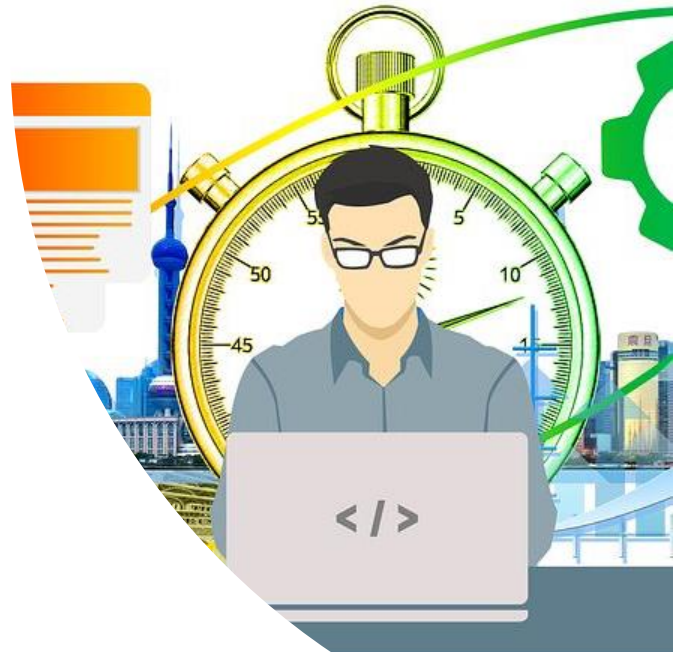


## What's Your Favorite Mindful Activity?

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### WHY BE MINDFUL AT WORK?

- Your own well-being
- Improved productivity and work performance
- Fosters a more ethical environment



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## Making Time for Mindfulness at Work



- Calendar it
- Make it an activity you *want* to do or already do
  - 10 **deep breaths** at your desk
  - 2-5 minute **meditation**
  - Random **act of kindness**
  - **Daily rituals**

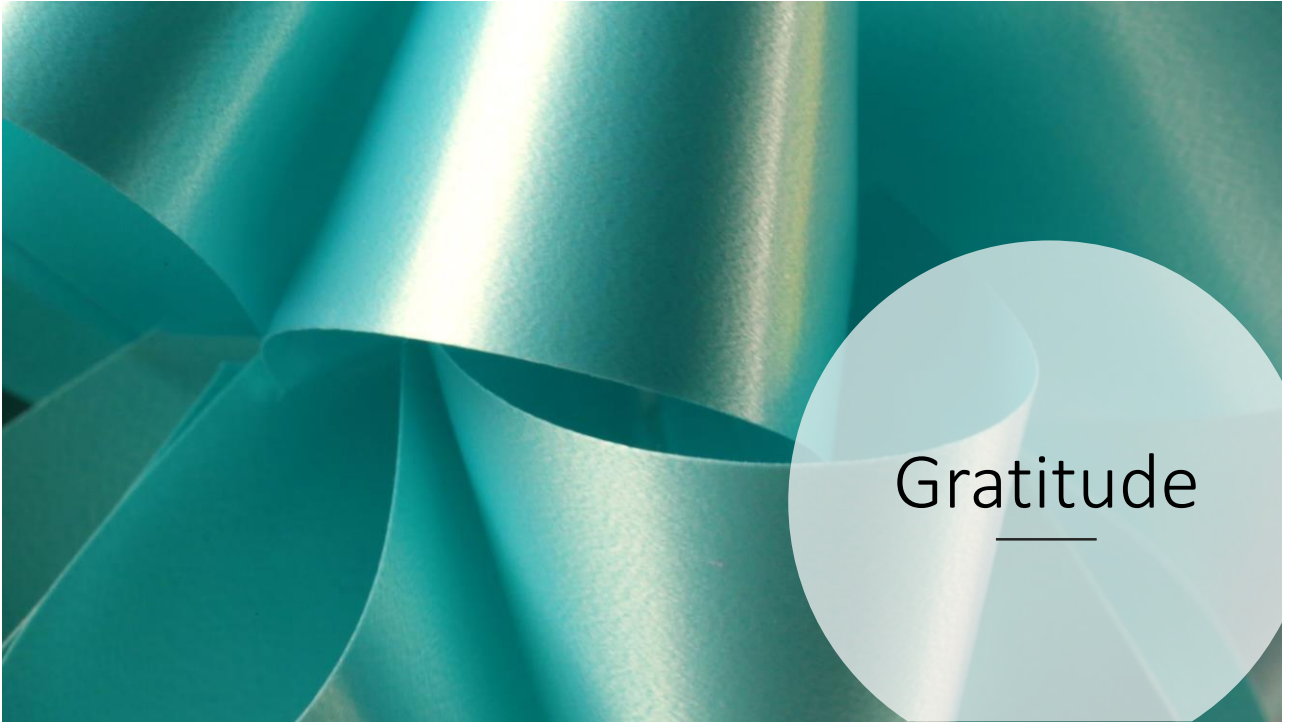
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## Being Mindful as a Team

- **Mindful Meetings**
  - Short = more productive
  - No back-to-back meetings
  - Mindfulness moment before starting
  - Ditch the technology
  - Walking meetings
- **Create Space**
  - Block off times/days to focus on one thing
  - Have a monthly practice together (lunch or something else)



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## 508: How Much Gratitude is in Your Life?

Every day is Thanksgiving for  
me.

I keep a gratitude journal.

I think I'm pretty grateful, but  
I don't track it or anything.

I haven't really given much  
thought to gratitude.

I'll be grateful when you stop  
asking me all these questions.

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# Why Be Grateful at Work

- Strong link between
  - Gratitude and health
  - Gratitude and happiness
- Fosters new/stronger relationships
- Enhances ethical conduct



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## The Power of a Thank You Note



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## Making Growth Mindset, Mindfulness & Gratitude a Habit

"You'll never change your life until you change something you do daily. The secret of your success is found in your daily routine."

— John C. Maxwell



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## Habits: Your Brain on Autopilot

- Frees up cognitive resources
- The Habit Loop
  - Cue → Routine → Reward
- Creating/Altering Habits
  - Repetition
  - Accountability
  - Growth mindset



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## The Habit Challenge



### Suggestions

- Make time to enjoy your favorite mindful activity
- Spend 10 minutes mindfully doing an activity you already do
- Practice a new skill using growth mindset
- Meditate for 5 minutes before/after work
- Daily or weekly gratitude practice
- Schedule a mindful meeting with your team

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**KEEP  
CALM**  
AND  
**COMPLIANCE  
ON**

THANK YOU :)