

Investing in Yourself: Strategies for Individual Development for Compliance Professionals

Danielle M Fagan, MSW LICSW
Clinical Performance Solutions Partner- Lifespan
Founder - Anytime Leadership

Donna Schneider, RN, MBA, CPHQ, CPC-P, CHC, CPCO, CHPC
Lifespan Vice President, Corporate Compliance and Internal Audit

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*“If you are green you are growing,
if you’re ripe you rot”*

Dr. Robert A. Rohm



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My Story



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Learning Objectives

- Share strategies for successful professional development with focus on investment in personal talent
- Explore the importance of self-growth management and staying current on the compliance career journey
- Teach how to have critical conversations to enhance personal talent development.

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Emotional Intelligence

“Yes, I think I have good people skills.
What kind of idiot question is that?”



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Polling Question

What gets in the way of making our individual development a priority?

- A. I don't have time
- B. My company doesn't pay for it
- C. I don't think it is important
- D. I don't like learning new things
- E. I feel I have learned everything about my field

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Limited Mindset

“If we predict that it’s going to be unpleasant, we procrastinate.”

Dr. Linda Sapadin
Author “It’s About Time”

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THE PERFECTIONIST

Challenge:

- Pays too much attention to details
- High expectations- expects everyone to know all things compliance & privacy
- Don’t start or finish it for fear that it won’t be good enough

This is the Compliance professional who goes into “research mode” and spends hours looking for “back up” to support a recommendation. This person has difficulty providing guidance without a “booklet” of information to share. So, this team member is always behind on their work and needs others’ help to catch up.

Advice:

- Try to banish “should” from their vocabulary and try and substitute them with “could” instead

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THE DREAMER

Challenge:

- Doesn't pay enough attention to details
- Aspirations to complete something, but they don't have plans to take first step.
- Often use vague words like "someday" or "soon,"

This is the Compliance professional who thinks everything is interesting and raises their hand to do everything, so they work on Compliance Week, developing new handouts, sitting in on all kinds of meetings, however no tangible work product is ever produced. Therefore, the team picks up the slack,

Advice:

- Specificity
- Change "someday when I have the time" to "my someday is now"

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THE WORRIER

Challenge:

- Worrying and overthinking takes over behavior
- "What if..."
- Afraid if they have a suggestion for compliance or privacy it will be rejected

This is the Compliance Professional who is always asking the opinion of others, The Worrier will chat with their coworkers about every case, every decision, and every interaction to receive validation. This slows down the process for them and their workload becomes overwhelming. Therefore, affecting the team.

Advice:

- Recognize that not making a decision, is in fact making a decision

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THE CRISIS-MAKER

Challenge

- “Challenge accepted”
- Wait until the very last minute to do things
- Love the feeling of being rushed

This is the Compliance Professional who waits until due date to do everything! Like required privacy submissions to the OCR, waits to provide input to the senior Compliance leader for system Compliance meetings at the due date, not allowing for review time. Their work always results in the “mad scramble” to finalize things. Their behavior causes attention, and they seem to enjoy the spotlight of that behavior.

Advice:

- Lean into tendencies by creating crisis

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THE DEFIER

Challenge:

- Two types
 1. Those who refuse to do things because they resist succumbing to expectations
 2. Those who say they'll do something but don't

This is the Compliance Professional who has done things the same way for years, and it has worked. This professional constantly refer to “the past” and is vocal about how good things were in the past. However, they say will try things, yet never do. They have a “good reputation” outside of the department; however, their resistance demands energy from colleagues and supervisors.

Advice:

- Shift mindset from a demand I have to defy to I choose to act

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THE PLEASER

Challenge:

- Hates disappointing people
- Find it difficult to say no
- Too many things to handle and find it difficult to prioritize

This is the Compliance Professional who is always saying yes to whatever the request is from colleagues. They are usually the easy-going person who wants everyone to be happy. They take on their colleagues' problems. Therefore, their workload is always higher than others and their job satisfaction suffers. They do not like to ask for help.

Advice:

- Be comfortable asking for help
- Learn how to say 'no' in a gracious way

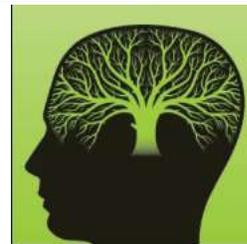
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Growth Mindset

- Constantly challenging yourself
- Unlearning what I think I already know
- The ability to learn, constantly and quickly
- Requires humility-
 - You are not the smartest person in the room
- Future focused, forward thinking
- Avoid the “I’ve seen this film and I know how this ends”



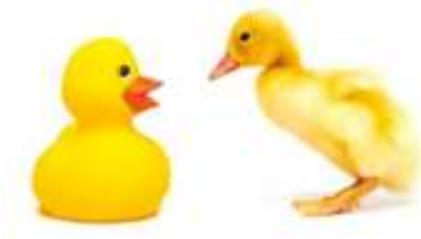
Remember:

You **can't** know everything about compliance or privacy
You **can** be very knowledgeable and be the “go to” person

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Imposter Syndrome



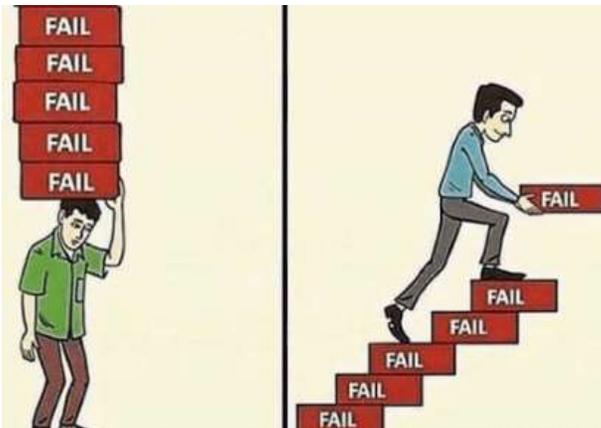
- Self-doubt
- Constant questioning of adequacy and abilities
- Set unrealistic and unreasonable expectations
- Limits emotional intelligence

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Confident Vulnerability

- Learning requires failure
- Not failing? You are not growing
- Failing is hard



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Self-Management

- Managing your self with the time you have
- Leading yourself 1st & continuously
- Personal and professional development
- Building daily habits of self-care
- Let go of “busy”
- Investing in your development



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Polling Question

Do you currently have a line in your personal budget for professional development?

- A. Yes
- B. No

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Results of Constant Improvement



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The Orange

If I were to squeeze an orange, what would come out?

Why when you squeeze an orange does orange juice come out?

Giving ourselves permission to invest in our growth
is like nurturing the orange.

This will allow us to pour our knowledge, tools and
resources into the next challenge!

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Leading Anytime, Every Time

- Role model failure and focus on lesson learned
- Position yourself as a learner, regardless of your position
- Confident enough to lead from a position of not knowing
 - Inspires others to learn and stretch
 - Demonstrates acceptance of stumbling & resetting
- Ask don't tell
 - allows them to learn through their own process
- Demonstrate humility

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Your Brand



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Developing Your Brand



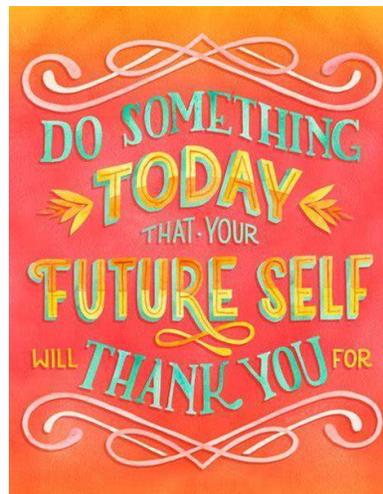
- Know what you do well (Strengths)
- Articulate what you do that sets you apart
- Understand the value of being succinct
- Seek input from those not involved in what you do
- Network using your brand
- Modify as you grow and develop

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Pride and Personal Excellence

- Demonstrate integrity
- Be accountable
- See failures as lessons
- Own your mistakes
- Share vulnerability
- Sharpen skills
- Go above & beyond
- Dress for the job you want



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Summary

Being aware of your areas for growth;
Investing in your development (personally & professionally)



Will create opportunity for your continued success!

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Questions?



Danielle M Fagan, MSW LICSW
Founder Anytime Leadership
Lifespan Clinical Performance Solutions Partner
www.daniellemfagan.org
dfagan@lifespan.org

Donna Schneider, RN, MBA, CPHQ, CPC-P, CHC, CPCO, CHPC
Lifespan Vice President, Corporate Compliance and Internal Audit
dschneider@lifespan.org

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Anytime Leadership

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