Effective Compliance with I.M.P.A.C.T.™

HCCA Healthcare Enforcement Compliance Institute
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Objectives

- Learn to develop and set a unified Intention.
- Learn the communication and team building skills necessary to manifest that Intention through specific, achievable, realistic, and time-bound goals.
- Use breath Meditation and visualization as a means to get the compliance team on the same page and working with directional harmony, using affirmation and visual reminders to reinforce goals.
- Design an Action plan consistent with the Intention, Meditation, and Projection, while nurturing consistency and Commitment to achieve stated goals.
- Refine communication and build rapport to enhance Trust and build team efficiency.

Image Source: Shutterstock
I.M.P.A.C.T.™
A Strategy for Achievement and Excellence

Intention
- Setting the fundamental intention of having an excellent and effective compliance program in place. Intention provides the attitudinal and energetic infrastructure for setting SMART* goals and developing communication and team-building skills necessary to achieve those goals.

Meditation
- Using meditation and visualization as tools to create directional harmony for the compliance team.

Projection
- Using affirmation and visual reminders to reinforce goals and neutralize negative beliefs and self-talk.

Action
- Designing an action plan consistent with Intention, Meditation, and Projection efforts.

Commitment
- Nurturing consistency and commitment to achieve the stated goals of the compliance team.

Trust
- Refining communication and building rapport to enhance trust and build team efficiency.

Source: http://www.smart-goals-guide.com/smart-goal.html

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Intention

**noun** in·ten·tion \ in-ˈten(t)-shən \  
- A determination to act in a certain way  
- What one intends to do or bring about

Intention

- Setting intentions
  - Focus on identity, recognize values and beliefs
    - Personal identity, values, beliefs
    - Compliance Program/Team identity, values, beliefs
  - Internal alignment
    - Eliminate internal duality based resistance
    - Awareness and reception of the compliance program within the organization

Intention (cont’d)
Intentions vs. Goals

- **Intention**
  - A determination to act in a certain way
  - What one intends to do or bring about

- **Goal**
  - The end toward which effort is directed
  - The terminal point of a race

S.M.A.R.T. Goals

- **S** Specific
  - Or significant, stretching, stimulating, simple, self owned, strategic, sensible

- **M** Measurable
  - Or meaningful, motivating, manageable, maintainable

- **A** Achievable
  - Or attainable, action-oriented, appropriate, agreed, assignable, ambitious, accepted, audacious

- **R** Realistic
  - Or relevant, rewarding, results-oriented, resourced, recorded, reviewable, robust

- **T** Time-based
  - Time-bound, time-lined, trackable

Source: http://www.smart-goals-guide.com/smart-goal.html

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<tbody>
<tr>
<td>Evaluate, excitable, ethical</td>
<td>Motivate and energize</td>
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<tr>
<td>Re-evaluate, reward, reassess</td>
<td>Clear path to success</td>
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<td>Identify obstacles</td>
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<td>Focused action</td>
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Source: http://www.smart-goals-guide.com/smart-goal.html

Measuring Compliance Program Effectiveness: A Resource Guide
Element 5: Monitoring, Auditing, and Internal Reporting Systems

<table>
<thead>
<tr>
<th>5.1</th>
<th>Accessibility of reporting system</th>
<th>Interviews. Surveys. Ask employees and managers if the reporting system is accessible to them. Is it available in languages that are most spoken in the organization?</th>
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<td>5.2</td>
<td>Adherence to 60-day overpayment rule</td>
<td>Review incident tracker; ensure days to open or days to close do not exceed that timeframe. Track efforts to identify status benchmarks specific days to completion.</td>
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<td>5.3</td>
<td>Trust in the system</td>
<td>Survey - Do you feel you can freely report ethics and compliance issues without fear of retaliation from managers? (Yes/No/Don’t Know).</td>
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<td>5.4</td>
<td>Reporting and Investigation Process</td>
<td>Review external benchmarking reports (# of calls, time it takes to close cases, anonymous, etc.).</td>
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| 5.5 | Reporting system – compliance response to reporters | Document review. Focused groups and speaking with employees about hotline.  
  - Are calls made through reporting system responsive to reporters?  
  - Are policies followed regarding the response to reports received?  
  - Are reports responded to on regular intervals and updated appropriately? |
  - Are hotline calls or matters brought to the attention of the compliance department (direct contacts) categorized, trended, and reported to the compliance committee and board level committee?  
  - Are there tracking, trending and reporting of how these matters have been resolved? |
| 5.7 | Reporting to compliance (hotline, report to the compliance officers, etc.) | Reports reflect communication methods (call, anonymous, email, direct, etc.)? |

Meditation

**noun** med·i·ta·tion \ˌme-də-ˈtā-shən \n
- A discourse intended to express its author's reflections or to guide others in contemplation
- The act or process of meditating
  - To engage in contemplation or reflection
  - To focus one's thoughts on; reflect on or ponder over


Meditation: Some Types and Styles

- **Pranayam**: Focus, expansion, and elevation through the breath
- **Transcendental Meditation (TM)**: Inner calmness, state of enlightenment
- **Heart Rhythm Meditation (HRM)**: Emphasis on breathing and experiencing the heartbeat
- **Mantra and Meditation**: Naad yoga, and the science of the word as an elevating force
- **Kundalini**: Meditation on the life force energy as a rising stream of energy
- **Visualization and Guided Visualization**: Self-hypnosis; mind mapping; stress relief; performance enhancement
- **Qi Gong and Tai Chi**: Movement and meditation; improves posture, respiration, balance and ability to relax while in motion (to go with the flow)
- **Zazen**: Systematic letting go of thoughts including judgments, assumptions, expectations, ideas, and images as they present in one’s mind

Source: https://visualmeditation.co/7-types-of-meditation/
Meditation

- **Meditation Visualization**
  - Use projected inner vision to influence and direct your mind, body, and spirit
  - Project images of success
    - See the result, and through the “seeing”, create patterns within the physical and mental infrastructure of the mind/body to support and manifest that success

- **Vision**
  - Your vision already exist within you
  - Internal representation of what is most important to you

- **Goal**
  - Specifically designed milestone requiring completion
  - See/feel the intention, the path, the completion, and the experience of completion

Source: [http://www.chopra.com/articles/how-to-use-meditation-to-visualize-your-goals#sm.0001c00n5x18hefdykiqabz714ws](http://www.chopra.com/articles/how-to-use-meditation-to-visualize-your-goals#sm.0001c00n5x18hefdykiqabz714ws)
Visualization

- Part One – Relaxation
  - Alternative nostril breathing
  - Other options to enter a focused relaxed state:
    - Counting backwards to relax
    - Counting forward to awaken
    - Use of an anchor or mantra

Visualization

- Part Two – Applied Visualization
  - 5.1 Accessibility of reporting system (Hot Line):
    - Is the reporting system accessible to employees and managers? Is it available in languages that are most spoken in the organization?
      - Visualize the physical and interactive structure, function, and use of the system;
      - Visualize people communicating using the reporting system and hear the languages of your organization being spoken;
      - Visualize the posted signs; see the colors, the shape, the font; see employees stopping to read it and using it
      - See and fee the team pride in protecting the organization
Projection

**noun** projection \\ prə-ˈjek-shən \\

- A systematic presentation of intersecting coordinate lines on a flat surface upon which features from a curved surface (as of the earth or the celestial sphere) may be mapped an equal-area map projection
- The process or technique of reproducing a spatial object upon a plane or curved surface or a line by projecting its points; also a graph or figure so formed
- A transforming change

Affirmations

- Sentences aimed to affect the conscious and the subconscious mind
- Creating affirmations:
  - Affirm what you want, not what you don’t want
  - Use positive statements and avoid negative statements
  - Be present
  - Keep the mind focused on the goal
  - Frame statements “as if” they were true now, not as if they will occur in the future
    - “Be” rather than “become”

Affirmations (cont’d)

- Creating affirmations (cont’d):
  - Be concise
    - Commands to your subconscious
  - By rhythmic
    - Cadence and rhyme improves retention
Affirmations (cont’d)

Action

**noun** action \
\`
\`ak-shên \\

- A thing done; deed
- The accomplishment of a thing usually over a period of time, in stages, or with the possibility of repetition
- An act of will

Action

“He who hesitates meditates in the horizontal position.”
– Ed Parker

- Nothing can be accomplished without meaningful and appropriate action.
- How to Decide What to Do:
  - Post-it Note power
  - Solution focus

Action (cont’d)

Image Source: Lilly, K. (2017) Photograph, personal collection
Commitment

**noun** comˈmit·ment \ kəˈmit-mənt \ 
- An act of committing to a charge or trust, such as:
  - An act of referring a matter to a legislative committee
  - An agreement or pledge to do something in the future

“There are significant behavioral and performance differences between employees who are fully committed and those who merely are compliant.”
– Mac McIntire

“Commitment doesn’t happen without culture.”
– Kristen Lilly

“The missing link in the compliance profession: interpersonal skills and influence.”
– Roy Snell


Source: http://www.imglv.com/articles/Commitment_vs_Compliance.pdf
Commitment (cont’d)

- **Motivators**
  - Fear for self
  - Fear for the business
  - Competitive edge
  - Noble cause
  - Agreement
  - Dignity


Image Source: Lilly, K. (2017) Photograph, personal collection
Trust

noun trust ˈtrəst

- Assured reliance on the character, ability, strength, or truth of someone or something
- One in which confidence is placed
- Dependence on something future or contingent: hope


Trust

- Pride builds resiliency
- Individual engagement
- Authentic communication (Walk Your Talk)
- Experience the other person as you
- Value every member of the team
- Balance praise and feedback
- Deliver, no matter what
Trust (cont’d)

Suggested Reading

- **177 Mental Toughness Secrets of the World Class: The Thought Processes, Habits and Philosophies of the Great Ones** by Steve Siebold
- **How to be a Wildly Effective Compliance Officer** by Kristy Grant-Hart
- **Kriya: Yoga Sets, Meditations & Classic Kriyas from the Early Years as Taught by Yogi Bhajan** by Kundalini Research Institute
- **Switch: How to Change Things When Change is Hard** by Chip Heath and Dan Heath
- **The Teachings of Yogi Bhajan** by Yogi Bhajan
- **Thinking Body, Dancing Mind: Taosports for Extraordinary Performance in Athletics, Business, and Life** by Chungliang Al Huang and Jerry Lynch
- **The Zen of Kenpo** by Ed Parker
Questions?

THANK YOU

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