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.

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

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
Intention

noun /ɪnˈtɛnʃən/ 
- 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

- **Specific:**
  - Or significant, stretching, stimulating, simple, self-owned, strategic, sensible
- **Measurable:**
  - Or meaningful, motivating, manageable, maintainable
- **Attainable:**
  - Or attainable, action-oriented, appropriate, agreed, assignable, ambitious, accepted, audacious
- **Realistic:**
  - Or relevant, rewarding, results-oriented, resourced, recorded, reviewable, robust
- **Time-based:**
  - Time-bound, time-lined, trackable


- **S.M.A.R.T.E.R.**
  - Evaluate, excitable, ethical
  - Re-evaluate, reward, reassess

- **S.M.A.R.T.E.S.T.**
  - Motivate and energize
  - Clear path to success
  - Identify obstacles
  - Focused action

### Measuring Compliance Program Effectiveness: A Resource Guide

#### Element 5: Monitoring, Auditing, and Internal Reporting Systems

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<thead>
<tr>
<th>5.1</th>
<th>Availability of reporting system</th>
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<tbody>
<tr>
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<td>Interoperable; accessible to all employees and managers; feedback on success of the system is available to the group that is most affected by the operation.</td>
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<th>5.2</th>
<th>Adherence to the management process</th>
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<td>Results are stricter than those by the Nature of the Internal Reporting System</td>
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<th>5.4</th>
<th>Reporting and Investigation Process</th>
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<td>Routine internal feedback reporting (e.g., hourly, inter্ণities, anonymous, etc.)</td>
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<th>5.5</th>
<th>Reporting system – compliance sequence</th>
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<td>Document review, feedback process and feedback with employees about findings</td>
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<th>5.6</th>
<th>Reporting feedback to stakeholders</th>
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<td>Are policies followed regarding the response to reports received?</td>
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<th>5.7</th>
<th>Reporting to compliance officers, reporting compliance issues and the progress of compliance officers manage and make changes based on these findings</th>
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<td>Reports reflect communication methods such as, email, fax, etc.</td>
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### Meditation: Some Types and Styles

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<th><strong>Meditation</strong></th>
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<tr>
<td>noun med-ɪ-ˈtaʃən</td>
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- A discourse intended to express an 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

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### 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, ideals, and images as they present in one's mind
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

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 feel the team pride in protecting the organization

### Projection

**noun**

**projection** \ˈprō-ˌjek-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

**Source:** Merriam-Webster Dictionary, https://www.merriam-webster.com/dictionary/projection

### Projection

- **Baseline assessment**
- **Negative neutralization**
- **Positive affirmation**
- **Positive implementation**
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
Action

noun  \'ak-shan\  
• 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

“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)
Commitment

noun commit-ment \\\ka-\mit-mant\\

- 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

Motivators
- Fear for self
- Fear for the business
- Competitive edge
- Noble cause
- Agreement
- Dignity
Commitment (cont’d)

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 Kriyos 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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