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MORE ABOUT ME

Pick one cherished item from your office - why is it significant to you?

I have a fish named Wickie on my desk. I told my kids when I get my first official client after becoming an independent consultant, I'm going to buy myself a fish for my office. So far I've kept him alive and healthy!

If you could be any character in a book, TV show or movie, who would you be?

I would really love to be a character in one of the Mission Impossible Movies (one of the good guys of course!) The action, the cool technology, the risk... why not?!

If you had a one-way ticket in a time machine, would you go back in time or forward to the future?

I'd go back in time, maybe during the pre-American Revolution times. I love the clothing of that time, would want to see what the original houses looked like, and everyone rode horses- one of my favorite things to do! Plus, what an exciting time in American History!



Asked & Answered

THE SECRET SAUCE OF COMPLIANCE

What is your secret sauce for compliance?

Partnership. It is so important for the compliance function to be viewed as partners, not just a governance function. Partnership is a two-way street so compliance professionals should be asking the opinions of their colleagues on certain initiatives early on, and hopefully, the business partners will then do the same. When Compliance is asked to have a seat at the table as a business partner, and not just a risk-mitigator, then you've become successful.

What is the biggest misconception about the role of a compliance function?

That compliance gives "permission" to their business colleagues. Compliance officers are advisors, and if they've done a good job in their role by laying the foundation of compliance and ethics within the company, these discussions with colleagues will often turn from "Can I do this?" to "I thought about what you said last time, and I'm thinking of approaching this initiative this way... what do you think?" It's important that the business takes accountability for their own initiatives, and compliance acts as their guide.

Are bonuses based fully (or in part) on a company's financial performance appropriate for compliance professionals?

I do think its appropriate for compliance professionals to be bonused based on the company's overall performance...back to my thoughts about having skin in the game as business partners. There are many corporate functions that do not have direct responsibility for revenue but make important contributions to the overall mission, so having everyone bonused this way may create a culture of collaboration and striving for the end goal which is ultimately to help patients.

How are you approaching AI governance?

We are just seeing the tip of the iceberg with AI capabilities. From a compliance perspective, I think it's important to understand if you are dealing with closed or open systems. With a closed system, the risk of AI getting the answer wrong is much less, than if you are leaving it to learned behaviors. If you are having AI look at data sets, analytics, and things of that nature, it can be super beneficial from an efficiency standpoint; however, if you are using AI to replace human thought or guidance, there is absolutely a need for human oversight here, given the regulatory environment.

What is one question you wish more of your colleagues would ask you more often?

I always appreciate when asked my perspective on business decisions that have nothing to do compliance. The Compliance Function has the unique perspective of having an enterprise view that not many other functions get to experience. Compliance can bring a wealth of information to an organization, such as data analytics, spend, activity output, etc. and it would be a miss if the organization doesn't use this to their benefit when making strategic business decisions.

A code of ethics and conduct is one of the more gray areas of coverage that a compliance officer oversees - should the compliance officer's voice be most prominent? If not then who?

In my opinion, the most prominent voice in a company's code of conduct should be that of the CEO. "Tone from the Top" is a real thing, and the messages of ethics and compliance will only be heard and acted upon by employees if it's coming from the highest levels. It's also important for the Compliance Officer to also be noted in the Code, but the opening statement and common thread throughout the Code should be from the CEO.

What is one productivity hack that you love and others should try to?

I block time on my calendar to achieve specific tasks, and make sure I name the time block with what I'm supposed to accomplish. This way, if there is a task you've been putting off, or always seems to fall secondary to other meetings, you have the time blocked to complete it.

What advice would you give to a new graduate starting in their first Compliance role?

I'd have them start off by reading the OIG's 7 Elements of an Effective Compliance Program. This structure will help them to visualize all the important components, and responsibilities, of a compliance team. I would also recommend that they meet with and shadow colleagues in different functions, and if the opportunity arises, do a rotation in the actual business.

As compliance officers advise on "execution risk", having the experience of learning the actual business will only make them that much more successful, and a better compliance partner.

The Poll Results

We asked

Would you recommend your current company to a previous colleague who is seeking employment?

Yes absolutely	54%
Yes with exceptions	18%
No as I'm looking to leave	28%

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