

Kimberlee Rosa

Chief Compliance, Integrity and Inclusion Officer
Hoag

MORE ABOUT ME

What is your theme word or phrase for 2025?

Live with Intention. Meaning do more of what aligns with what I want for myself, my family and a fulfilling life.

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

I keep a box of cards and notes that I've received from colleagues and staff. Over the years, their heartfelt messages have encouraged me and reminded me why I do what I do.

Where would you most like to live when you retire?

Gosh, retirement seems so far away. I don't know exactly, but it would be near the ocean, have warm weather and be peaceful. If you know of that place, let me know so I can plan a trip there in 2025!

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. It'd be great to reexperience some memorable moments and truly be in the moment.



Asked & Answered

THE SECRET SAUCE OF COMPLIANCE

What is your secret sauce for compliance?

I'd say collaboration is a part of the recipe. As a Compliance Officer, you will be ineffective if you work in a silo. You will always feel like you have no support and that you are kept out of the loop.

Collaborating with key stakeholders is a must for me in creating a culture of compliance and integrity. Compliance is not about you telling people they're wrong, that they can't do something and that there's a problem. That's a good way for people to not want to work with you or inform you of anything, which contributes to a cycle of being reactive instead of proactive. I collaborate with my colleagues to work together on compliant and ethical solutions for services we provide and quality outcomes.

This fosters a culture of trust and keeps me informed of organization priorities so I can do my part in ensuring we remain compliant while serving our community.

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

A huge misconception is that you should avoid or stay away from the compliance department. On the contrary, you should see your compliance officer and team as allies. Brainstorm with them. Go to them for guidance to avoid issues later. We want to establish processes and safeguards to ensure compliance to prevent any issues. Trust me, your compliance team wants to help you and aren't "out to get you". We prefer to be proactive than reactive.

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

I try to schedule time weekly for planning and execution. Compliance Officers often have a lot of unplanned tasks and items throughout the week. So once a week, I try to recenter and make sure I've spent time working on tasks that are most important and part of the bigger picture for the organization. It's also a good time to see if you're working on tasks that should be delegated to others.

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

Can I get your thoughts on this?

This gives us the opportunity to proactively discuss and address any compliance risks or concerns prior.

How are you approaching AI governance?

My approach is a thoughtful mindset with a sense of curiosity. I want to be thoughtful of the safeguards put in place to ensure we are using AI in a suitable manner that helps us improve.

In many cases there's a sense of urgency and excitement to leverage AI capabilities. AI capabilities are changing rapidly, and the governance framework should be agile enough to keep up with change. The governance process is to ensure we are innovating responsibly and not to delay innovation.

Having a healthy dose of curiosity about how AI could be used, both for good and potential misuse, is valuable in establishing governance. This will help establish a governance process that is impactful and harnesses ethical AI practices.

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

Understand the importance of building relationships as they are key to professional growth and success.

Build strong relationships with your internal key stakeholders. Get to know the people in your organization outside of your department.

Having an external network of compliance professionals is very beneficial. You'll be able to learn from each other and help each other throughout your career.

The Poll Results

We asked

Many companies are scaling back or cancelling ESG and/or DEI initiatives - is it the right thing to do during times of economic uncertainty?

| | |
|--------------------------------|-----|
| Yes absolutely | 38% |
| Keep programs, decrease budget | 17% |
| No, continue investing | 45% |

HIRING A COMPLIANCE OR PRIVACY PROFESSIONAL, OR LOOKING FOR A COMPLIANCE OR PRIVACY JOB?

Please click on the links below:

[HIRING IN COMPLIANCE OR PRIVACY](#)

[CURRENT JOB OPENINGS](#)

JANUARY 2025