



POLICY TITLE: Departmental Responsibilities and Charter

Responsible Department: Audit and Compliance

Creation Date: 12/31/2005

Review Date: 01/17, 1/18, 01/19, 01/20

Revision Date: 02/07, 11/10, 02/12

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Title: Corporate Vice President and Chief Compliance Officer

PUBLISHED (Released): 2020/01/10

SUMMARY & PURPOSE:

This policy serves to document how the roles and responsibilities of the Audit and Compliance Department will be defined.

POLICY:

The purpose, authority and responsibility of the Audit and Compliance Department will be defined in a charter and approved by Audit and Compliance Committee of the Board of Trustees of the organization.

SCOPE/APPLICABILITY:

Individuals within the Audit and Compliance Department

PROCEDURES TO ENSURE COMPLIANCE:

1. The Corporate Vice President and Chief Compliance Officer will regularly assess whether there have been any changes to the purpose, authority or responsibility of the Department as defined by the Charter;
2. The result of this assessment and related amendments, if any, to the Charter will be approved by the Committee; and
3. The adequacy of the Charter to accomplish the Department's objectives will be reviewed with the Committee periodically.

SUPPORTING/REFERENCE DOCUMENTATION:

International Standards for the Professional Practice of Internal Auditing (Standards)

RELATED POLICIES, PROCEDURES, AND ASSOCIATED FORMS:

- BHSF Audit and Compliance Committee Charter

ENFORCEMENT & SANCTIONS:

Enforcement of this policy will be performed by Baptist Health South Florida's Audit and Compliance Department. Failure to comply with or report a violation of a compliance program policy can lead to disciplinary action up to and including termination.