



POLICY TITLE: Quality Program Assessments

Responsible Department: Audit and Compliance

Creation Date: 12/05

Review Date: 02/12, 01/18, 01/19, 01/20

Revision Date: 03/08, 11/10, 01/17

SUBMITTED BY (AUTHOR): Wendy Kemp

Title: Corporate Assistant Vice President, Audit

APPROVED BY: Beth Gillis

Title: Corporate Assistant Vice President, Compliance

APPROVED BY: Karen Brady

Title: Corporate Vice President and Chief Compliance Officer

PUBLISHED (Released): 2020/01/09

SUMMARY & PURPOSE:

This policy serves to document the process by which the Audit and Compliance Department maintains a quality assurance and improvement program to continuously monitor its effectiveness.

POLICY:

The Audit and Compliance Department will monitor and assess the overall effectiveness of its activities.

SCOPE/APPLICABILITY:

This policy applies to individuals within the Audit and Compliance Department.

PROCEDURES TO ENSURE COMPLIANCE:

1. To monitor and assess the overall effectiveness of its activities, the Audit and Compliance Department will:
 - a. Perform ongoing monitoring activities of the performance of its audit activities;
 - b. Execute periodic reviews through a self-assessment program to be managed by a certified internal auditor or other designated, qualified member of the Department; and
 - c. Engage a qualified, independent reviewer from outside the organization to conduct a formal, external quality assurance review periodically; the results of which will be communicated to the Audit and Compliance Committee of the BHSF Board of Trustees.

SUPPORTING/REFERENCE DOCUMENTATION:

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

RELATED POLICIES, PROCEDURES, AND ASSOCIATED FORMS:

BHSF Administrative Policy: 801 Department Responsibilities and Charter Policy – Audit and Compliance

ENFORCEMENT & SANCTIONS:

Enforcement of this policy will be performed by Baptist Health South Florida’s Audit and Compliance Department.