



**POLICY TITLE:** Duties of Corporate Vice President and Chief Compliance Officer

**Responsible Department:** Audit and Compliance

**Creation Date:** 01/06

**Review Date:** 05/16, 01/17, 01/18, 01/19, 01/20

**Revision Date:** 11/12, 06/17

**SUBMITTED BY (AUTHOR):** Beth Gillis

**Title:** Assistant Vice President of Compliance

**APPROVED BY:** Karen Brady

**Title:** Corporate Vice President and Chief Compliance Officer

**PUBLISHED (Released):** 2020/01/10

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**SUMMARY & PURPOSE:**

To provide for a process to delineate the authority, duties and responsibilities of the Corporate Vice President and Chief Compliance Officer.

**POLICY:**

The Corporate Vice President and Chief Compliance Officer is a full-time position. The Corporate Vice President and Chief Compliance Officer devotes his/her full professional time to carrying out the duties and responsibilities under the Corporate Compliance Program and internal auditing guidelines.

At the direction of and under the supervision of the Audit and Compliance Committee, the Corporate Vice President and Chief Compliance Officer directs a broad, comprehensive program of internal auditing and regulatory compliance within Baptist Health South Florida and its affiliates (BHSF); to provide independent, objective assurance and consulting activity designed to add value and improve operations; to help BHSF accomplish its objectives by bringing a systemic, disciplined approach to evaluating and improving the effectiveness of risk mitigation and control processes; to coordinate compliance throughout the system in accordance with Program standards and procedures. The duties of the Corporate Vice President and Chief Compliance Officer are defined by the Audit and Compliance Committee of the Board of Trustees and formally approved by the Chairman of the Audit and Compliance Committee. Attachment 74730-836A is the approved document.

**SCOPE/APPLICABILITY:**

Corporate Vice President and Chief Compliance Officer.

**SUPPORTING/REFERENCE DOCUMENTATION:**

- International Standards for the Professional Practice of Internal Auditing (Standards)
- United States Federal Sentencing Guidelines
- Office of the Inspector General Compliance Program Guidance for Hospitals
- Office of the Inspector General Supplemental Compliance Program Guidance for Hospitals

**RELATED POLICIES, PROCEDURES, AND ASSOCIATED FORMS:**

- Attachment 74730-836A: Duties of Corporate Vice President and Chief Compliance Officer
- BHSF Administrative Policy: 801 Department Responsibilities and Charter Policy – Audit and Compliance
- BHSF Administrative Policy: 819 Code of Ethics Policy – Audit and Compliance

All references to Policies must go to the BHSF Master Copy on the BHSF Intranet; do not rely on other versions / copies of the Policy.

**ENFORCEMENT & SANCTIONS:**

Enforcement of this policy is the responsibility of the Audit and Compliance Department.