

DOL Audits

U.S. Department of Labor (DOL) audits of welfare benefit plans are happening with greater frequency to every size company. Reasons for a DOL audit include:

- Complaints by welfare benefit plan participants to the Employee Benefits Security Administration (EBSA), the DOL agency responsible for administering and enforcing the provisions of Title I of the Employee Retirement Income Security Act of 1974 (ERISA).
- Inaccurate or late filings of the Form 5500 Annual Report
- National enforcement initiatives investigating compliance with ERISA and the Affordable Care Act (ACA)
- Transfer of cases from the IRS to the DOL
- Random selection

This section covers the following topics to help you prevent, and be prepared for, a DOL audit:

- [How To Lower the Risk of a DOL Audit](#)
- [DOL Health Plan Audit Document Request Checklist](#)
- [Top Tips for Navigating Through a DOL Health Plan Audit](#)