

DOL AUDIT SCORECARD

Being selected for a Department of Labor (DOL) audit can have serious consequences for an employer. According to a DOL audit report for the 2016 fiscal year, nearly 7 out of every 10 investigations resulted in penalties or required other corrective action, such as paying amounts to restore losses, turning over profits and ensuring claims were properly processed and paid.

Answer the questions below to determine if your organization is at risk for penalties.

INSTRUCTIONS: Begin by answering the questions below. Each response will be given a numerical value depending on the answer. After completing the questions, total your score using the scale at the bottom of the page.

- **YES:** 0 points - **NO:** 2 points - **UNSURE:** 2 points

QUESTION	YES	NO	UNSURE	SCORE
1. Have you reviewed your employee classifications within the last year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Do you have an updated overtime policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Are you confident you would pass a DOL audit today?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Do you know if your benefit plans comply with the Employee Retirement Income Security Act (ERISA)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Have you conducted policy training with HR employees within the last year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6. Have you received a DOL penalty within the last three years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7. Do your health plans comply with all federal laws, including the Health Insurance Portability and Accountability Act of 1996 (HIPAA)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8. Are you familiar with the most common DOL audit triggers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9. Are you confident your employee time tracking is DOL compliant?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10. Have you reviewed your state's overtime law within the last year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
11. Do you know how to handle a DOL document request?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
12. Have you trained employees within the last year to prepare them for on-site DOL visits?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
13. Are your employees maintaining the proper records for an audit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
14. Have you updated plan documents within the past few years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
15. Are all required employment postings hung up and visible to employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
TOTAL SCORE:				

Low risk. Contact Sullivan Benefits to confirm: 0-10

Moderate risk. Contact Sullivan Benefits today: 11-25

High risk. Contact Sullivan Benefits today: 26-42

