

U.S. Department of Labor

Employee Benefits Security Administration
J.F. Kennedy Federal Building, Room 575
Boston, MA 02203
Phone: (617) 565-9600
Telefax: (617) 565-9666



US Mail and Email

Date

Sample DOL Audit Letter

Company Name

Street Address

City, State Zip Code

RE: Company Name Health and Welfare Plan
Case No. 00-000000

Dear HR Director:

The Department of Labor has responsibility for the administration and enforcement of Title I of the Employee Retirement Income Security Act of 1974 (ERISA). Title I establishes standards governing the operation of employee benefit plans such as the Company Name's Health and Welfare Plan (the Plan).

The Plan is scheduled for investigation by this office. Investigative authority is vested in the Secretary of Labor by Section 504 of ERISA, 29 U.S.C. 1134, which states in part:

The Secretary [of Labor] shall have the power, in order to determine whether any person has violated or is about to violate any provision of this title or any regulation or order thereunder ... to make an investigation, and in connection therewith to require the submission of reports, books, and records, and the filing of data in support of any information required to be filed with the Secretary under this title

Additionally, the Plan will be examined for the purpose of determining whether it is complying with the laws contained in Part 7 of ERISA, including the Health Insurance Portability and Accountability Act of 1996, the Newborns' and Mothers' Health Protection Act, the Women's Health and Cancer Rights Act (WHCRA), the Mental Health Parity and Addiction Equity Act, the Genetic Information Nondiscrimination Act, and the Patient Protection and Affordable Care Act and Health Care and Education Reconciliation Act (together, the Affordable Care Act). These laws amended Part 7 of ERISA and provide requirements for group health plans.

We have found in the past that submission of relevant documents to our office prior to the inception of an on-site field investigation can lessen the time subsequently spent with, and the administrative burden placed on, plan and corporate officials. To that end, attached is a list of documents needed to begin our review. **Kindly submit these documents to this office within ten business days from the date of this letter.** If any additional documentation is needed during the course of this review you will be notified to that effect.

Thank you in advance for your cooperation. Should you have any questions, please contact the undersigned at (617) 555-5555.

Sincerely,

Investigator's Name