

Preparing Clients for DOL Investigation

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April 22, 2014

- I. Introduction *(3 minutes)*

- II. DOL Investigations *(13 minutes)*
 - A. Current activity
 - B. Process
 - C. Potential consequences for non-compliance

- III. Preventive Compliance Steps *(25 minutes)*
 - A. Plan Documentation
 - i. Plan document vs. SPD
 - ii. PPACA design requirements
 - B. Disclosures
 - i. HIPAA special enrollment rights notices
 - ii. CHIP notices
 - iii. HIPAA certificates of creditable coverage
 - iv. Required annual disclosures
 - v. Method of disclosure
 - C. Mental Health Parity Compliance
 - i. Quantitative treatment limitations
 - ii. Non-quantitative treatment limitations

- IV. Conclusion (including a discussion of additional resources) *(6 minutes)*

- V. Questions *(5 minutes)*

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To be presented on
April 22, 2014

1. Bibliography

Available upon request.

2. Course Objectives

To equip insurance brokers and consultants to help their clients address certain legal compliance issues often raised in DOL investigations of employer-provided health plans.

3. Attendees will learn:

- a. What to expect in a DOL investigation.
- b. Processes involved in a DOL investigation.
- c. The consequences for not being ready.
- d. Preventative steps to help clients stay compliant.
- e. What annual disclosures are required.
- f. Where to turn when you need help.