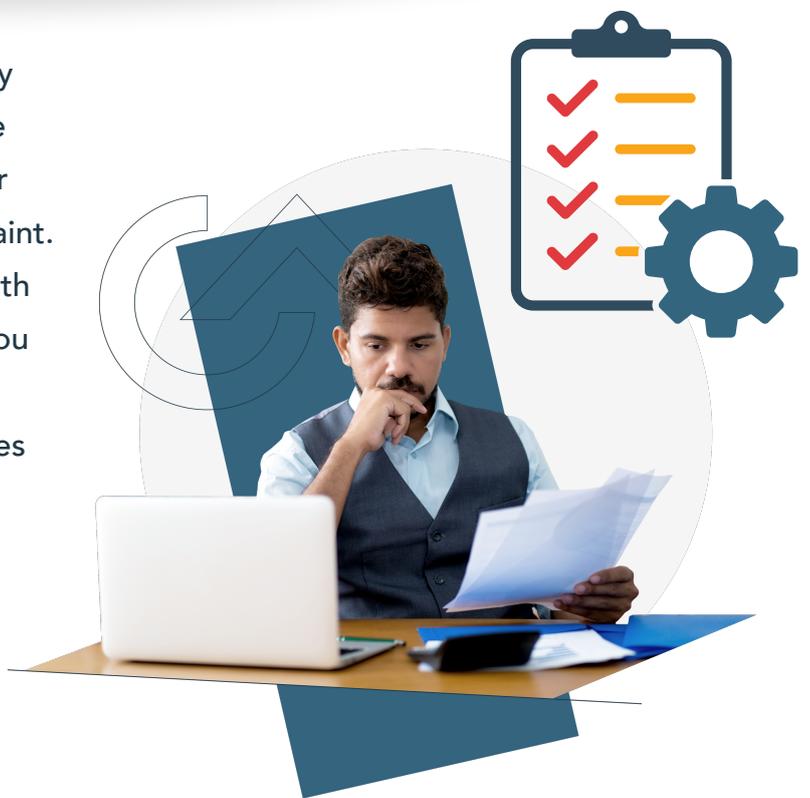


Preparing for a Department of Labor Audit

- Though a business can be audited (or investigated) by the Department of Labor at any time, most audits are triggered by a reported or suspected rule violation or when a current or former employee initiates a complaint. To help ensure your employment practices comply with local, state, and federal labor laws and regulations, you can conduct a self-audit of your business's human resources policies and procedures to identify any holes and establish best practices.

If you find out, however, that you are the subject of a DOL audit, you need to get prepared—and quickly. The DOL's enforcement agencies typically provide little advance notice, so time is of the essence.



A Checklist: How to Prepare for a DOL Audit

- ✓ Determine which division of the DOL is investigating your company, as well as the scope of the investigation.
- ✓ Contact your human resources manager, professional employer organization (PEO), or employment counsel to discuss your business's rights and responsibilities when it comes to the audit process.
- ✓ Request additional time to gather the records requested by the agency investigators so that your team has sufficient preparation time.
- ✓ Appoint a company representative or team to coordinate with the investigator and provide them with the information they need to complete the audit.
- ✓ Gather, prepare, and keep track of records requested by the investigator, as well as information provided to you by the DOL.
- ✓ Provide the investigator with a quiet, private place to work, meet with company representatives, and interview employees.
- ✓ Once the audit concludes, request a summary of investigative findings for your records.
- ✓ If you need help establishing and conducting a self-audit process or preparing for a DOL audit, the HR

If you need help establishing and conducting a self-audit process or preparing for a DOL audit, the HR compliance experts at G&A can help.

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