

INVESTIGATION OF EMPLOYEE BENEFIT PLANS

Under Title 1 of the Employee Retirement Income Security Act (ERISA) the Department of Labor's Employee Benefits Security Administration (EBSA) is charged with assuring the responsible management of approximately 681,000 private-sector retirement plans, approximately 2.3 million health plans, and a similar number of other welfare benefit plans that provide benefits to approximately 141 million Americans. EBSA's mission is to assure the security of the retirement, health and other workplace related benefits of America's workers and their families. EBSA accomplishes its mission by developing effective regulations; assisting and educating workers, plan sponsors, fiduciaries and service providers; and vigorously enforcing the law.

This presentation addresses various issues with regard to the investigation of employee benefit plans, such as:

- EBSA's Strategic Enforcement Plan – 8 minutes
 - Enforcement Initiatives
- How to be prepared for an audit – 7 minutes
- Information/documentation needed for audits - 5 minutes
- Prevention – 7 minutes
 - Self-audit
- Corrective Actions – 4 minutes
- Investigative Emphases – 4 minutes
- Fiduciary Issues – 4 minutes
- General Plan Operations – 7 minutes
- Civil versus Criminal Investigations – 5 minutes
- DOL's Self-Correction Programs – 7 minutes