

## HEALTH AND WELFARE COMPLIANCE CHECKLIST

	YES	NO
<b><i>General – required issuance to employees</i></b>		
<i>ERISA</i>		
Wrap documents to incorporate all health and welfare plans Summary Plan Description to participants within 90 days of hire Summary Plan Description to participants within 120 days of new plan Summary Annual Report Summary of Material Modifications with summary of plan changes Self-funded plans held in trust with appropriate fidelity bond Self-funded plans with claims procedures meeting ERISA requirements		
<i>GINA Notice</i>		
<i>HIPAA</i>		
Notice on both Privacy and Special Enrollment Rights upon plan enrollment Training with appointed privacy officer Workforce HIPAA training programs Business Associate Agreement with consultants, attorneys, etc. Privacy and Security policies in place and distributed to plan participants		
<i>Newborns and Mothers Health Protection Act Notice (NMHPA)</i>		
<i>Womens Health Care Recovery Act (WHCRA) Notice</i>		
<i>Domestic Partner Affidavit (where DP is covered under medical plan)</i>		
<i>Childrens Health Insurance Program notice</i>		
<i>Procedure for QMSCO and QDRO court orders</i>		
<i>Exchange Notice (ACA requirement)</i>		
<i>Michelle’s Law</i>		
<i>Sexual Harassment Training for Employees and Supervisors</i>		
<i>Summary of Benefits and Coverage (SBC) for medical plans (per ACA)</i>		
<i>Paid Family Leave procedures and notification</i>		

<b><i>Cafeteria Plans and Health Reimbursement Arrangements</i></b>		
Written Plan Document of Adoption and Procedures		
Discrimination Testing (Plan Overall, Flexible Spending Account, Day Care)		
<b><i>Special Situations</i></b>		
Life and Disability – Conversion Notices		
Life and Disability – Claims and Appeal Procedures		
Life Insurance – Table I reporting for amounts over \$50,000		
Life Insurance Beneficiary forms on file		

<b>Rules Based on Group Size (number of all employees)</b>		
<i>1 or More</i>		
Equal Pay Act		
Lily Ledbetter Fair Play		
HIPAA		
<i>10 or More</i>		
Occupation Safety and Health Act (OSHA)		
<i>15 or More</i>		
Accommodations under Americans with Disabilities Act		
Pregnancy treated as “any other illness” on medical plan		
Genetic Information Nondiscrimination Act (GINA)		
<i>20 or more</i>		
Initial COBRA Notice		
Process for Notifying “Qualifying Beneficiaries” of Coverage Continuation Rights		
Notices for Changes in Circumstance for COBRA beneficiaries		
Notice on California extension at expiration of COBRA length of coverage		
Notice on Disability extension for initial non-California qualification		
San Francisco Health Care Security Ordinance Reporting		
Medicare Annual Part D Creditable Coverage Notice		
Medicare payment process if employees waiving coverage		
Annual Medicare Part D Report		
<i>50 or more</i>		
Family Medical Leave Act notices and processes		
Commuter Reimbursement Plan		
Affirmative Action		
Affordable Care Act Reporting to Employee and Government		
Availability of Lactation Station		
<i>100 or more</i>		
5500 Form for each plan with 100 or more participants		
WARN Act on large scale terminations		
<i>250 or more</i>		
W-2 reporting on health insurance contributions		

