

Human Resources - Compliance Requirements

Compliance Requirement	Compliance Organization	Description of Requirement	Responsible Department	Responsible Party	Frequency
OSHA and OSHA 300 Log	US Department of Labor, OSHA	Employers with 11 or more employees must post, from February 1 to April 30 , a summary of the total number of job-related injuries and illnesses that occurred in the prior calendar year. Required to post the annual totals of the information contained on the right-hand portion of OSHA Form 300, "Log and Summary of Occupational Injuries and Illnesses". The form is to be displayed wherever notices to employees are usually posted Employers must prepare and maintain records of work-related injuries and illnesses. This must be done in the OSHA 300 Log Format.	Human Resources	Director, Compensation and Benefits/Benefit Admin.	Annually from February 1 - April 30
403 B Audit (as part of ERISA Form 5500 Reporting)	IRS, Department of Labor & Pension Benefit Guaranty Corporation	403 B Audit (as part of ERISA Form 5500 Reporting)	Human Resources	Director, Compensation and Benefits	Annually due 7/31 - unless extension form 5558 is filed - 10/15)
403 B Plan fee disclosures	IRS, Department of Labor & Pension Benefit Guaranty Corporation	403 B Plan Fee Disclosures	Human Resources	Director, Compensation and Benefits	August
Medicare Part D Notices	IRS, Department of Labor & Pension Benefit Guaranty Corporation	Medicare Part D Notices	Human Resources	Director, Compensation and Benefits /Benefit Admin.	Annually in October
Summary of Benefits Coverage (SBC)	Health Care Reform Act	Uniform explanation of benefits, including RX. Must be sent to all Benefit eligible employees and COBRA participants annually by first day of ea. annual enrollment period.	Human Resources	Director, Compensation and Benefits /Benefit Admin.	Annually in November
Summary Annual reports on plans	IRS, Department of Labor & Pension Benefit Guaranty Corporation	Summary Annual reports on plans	Human Resources	Director, Compensation and Benefits	Annually - December 31

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(ERISA)Form 5500, Annual Return/Report of Employee Benefit Plan	Internal Revenue Service, US Department of Labor & Pension Benefit Guaranty Corporation	A return/report must be filed every year for every pension benefit plan and welfare benefit plan. RISD files individual 5500's for the following plans: <ul style="list-style-type: none"> - 403b Retirement Plan - July 31 - Medical Plan - July 31 - Dental Plan - Jan 31 - Disability & Life Jan 31 	Human Resources	Director, Compensation and Benefits	Annually due 7/31 - unless extension form 5558 is filed - 10/15)
Federal DLT Posters		Federal posters must be posted	Human Resources	Director, Employment + EE Development	Must be posted at all times.
DLT Posters	RI, Department of Labor & Training	Requires an employer to post DLT posters regarding wage, labor & safety laws.	Human Resources	Director, Employment + EE Development	Must be posted at all times.
Consolidated Omnibus Budget Reconciliation Act (COBRA)	US Department of Labor	Requires employers to provide workers and their families who lose their health benefits the right to choose to continue group health benefits provided by their group health plan for limited periods of time under certain circumstances	Human Resources	Benefit Strategies, Third Party Vendor (Benefit Administrator)	On-going
Health Insurance Portability and Accountability Act of 1996 (HIPPA)	US Department of Labor	Require group health plans and health insurance issuers to: <ul style="list-style-type: none"> - Provide certificates of prior health coverage; - Provide certain individuals special enrollment rights in group health coverage when specific events occur - Prohibit discrimination in group health plan premiums based on specific health factors - Guarantee that health coverage be available to and can be renewed by certain employers - Limits which types of conditions 	Human Resources	Benefit Admin Notices are sent out by the carrier	On-going

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Workers Compensation Coverage	RI, Department of Labor & Training	Employers with one or more employee must carry workers' compensation insurance coverage. They must also post worker's comp acct. carrier name and phone number	Human Resources	Beacon Mutual Insurance, provides the coverage Risk Manager organizes the insurance coverage Benefit Administrator is responsible for the	On-going
First Report of Injury	RI, Department of Labor & Training	Employer must complete a First Report of Injury for an employee for any work-related injury, if that injury requires any medical treatment or if the employee loses full wages for at least three (3) days.	Human Resources	Benefit Admin. notifies our insurance carrier and they are responsible for reporting to the state when applicable	On-going
Exchange Notice	Health Care Reform Act	Employer must send out the exchange notice	Human Resources	Benefit Admin	ongoing
Background Checks	Fair Credit Reporting Act	Mut obtain employee's consent prior to obtaining a consumer report (including criminal background checks).	Human Resources	Third party vendor - Kroll or other.	ongling
Form I-9, Employment Eligibility Verification	Department of Homeland Security U.S. Citizenship and Immigration Services	Employers are responsible for completion and retention of Form I-9 for each individual they hire for employment in the United States. This includes citizens and noncitizens.	Human Resources	Director, Employment and EE Development	Within 3 business days of new hire start date.