# THE RICHARDS GROUP (ASE STUDY: A DOL Investigation Gone Right!



#### **Company**

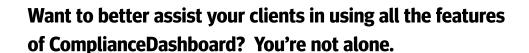
The Richards Group



#### **Staff**

Janine Tadakowsky, Manager of Benefits, Training, and Technology

**Time Using the Dashboard:** 8 Years



**Enter Janine Tadakowsky.** 

#### **A DOL Investigation Story**

Janine and The Richards Group are very hands-on with their client's compliance efforts. "We tell our clients that The Dashboard is an electronic filing cabinet. It is their best way to store any proof or documentation that they have completed a compliance task. If something were to happen, including a DOL audit, they would have access to that proof easily at their fingertips. Additionally, if there is a changing of the guard, such as a staffing change, we don't have to worry about documentation being stored on one person's personal computer, it is all stored in a common place."

And in 2018, that's exactly what happened. The Richards Group team received word from a client that they were being investigated by the DOL. One piece of documentation the client couldn't find was an attestation of a PCORI fee filing.

"We knew they had been using the system for a number of years, so The Dashboard is where we defaulted to."

Unfortunately, the attestation documenting that the PCORI fee had been filed hadn't been uploaded to the client's Dashboard Document Manager. However, because the user had documented the PCORI Fee task and added completion notes, they could see when and who had made the filing. The person who made the filing was able to go through their records and find their PCORI fee attestation for the required year to include in the DOL audit materials.

"It's the story we use to this day about why clients should use that online filing cabinet."



#### THE RICHARDS GROUP

## CASE STUDY:

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## Compliance Dashboard®

## Janine's Tips for SETTING YOUR CLIENT UP FOR SUCCESS



#### **Be Hands On**

"We tell our clients that if they are busy, we will upload documents and add a note in the system."



#### **Provide Real-Life Examples**

"The CMS disclosure...you get this one piece of paper that's a comma-delimited printout, just save it as a PDF, and upload it into the system to show it's been done."



#### The Dashboard User May Not Be Doing the Compliance Work

"For instance, when 1095's are sent out, a lot of times it's accounting doing that and not the HR person. Have the HR Manager send an email to accounting asking for confirmation that they can upload to The Dashboard."



#### Extra Follow-Up Goes a Long Way

"Sending regular reminders of upcoming tasks makes it more personal because it isn't the standard Dashboard reminder."

"The process can be as simple as saving a confirmation email as a PDF and uploading it to the Document Manager! A user can even save confirmation from other team members when they complete compliance tasks."