



## HEALTH AND WELFARE BENEFITS QUICK REFERENCE COMPLIANCE CHECKLIST



**CLEARVIEW**  
**BENEFITS**



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## HEALTH AND WELFARE BENEFITS QUICK REFERENCE COMPLIANCE CHECKLIST

***Please note that the Compliance Checklist:***

- Contains limited information and is not a comprehensive list of group health plan requirements; therefore, it should not be relied upon as an employer's sole source for compliance information.
- Includes information related to Health Care Reform provisions which are elective through 2018.
- Is a federal resource only, and therefore does not cover state mandates. Please check with your state's insurance board for local requirements.

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## QUARTERLY

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Medicare Section 111 Reporting			

## ANNUALLY

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Cafeteria Plan Nondiscrimination Testing			
	Health FSA Nondiscrimination Testing			
	DCAP Nondiscrimination Testing			
	Simple Cafeteria Plan Safe Harbor			
	Health FSA Limit			
	Form 5500 for Self-Insured Plans			
	Form 5500-SF			

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## ANNUALLY continued

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Accountant's Report			
	Summary Annual Report (SAR)			
	Form 5500 for Fully Insured Plans			
	Prohibition on Stand-alone HRA's			
	Annual Lifetime Dollar Limits			
	Patient-centered Outcomes Research (PCOR) Institute Fee			
	Summary of Benefits and Coverage (SBC)			
	Form W-2 Reporting Requirement			
	Reinsurance Fee			
	Health Insurance Tax (HIT)			

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## ANNUALLY continued

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Maximum Out-of-pocket (MOOP) Limit			
	Coverage for Clinical Trials			
	Employer Mandate			
	Information Reporting under Section 6055			
	Informational Reporting under Section 6056			
	CHIPRA			
	Breach Notifications			
	Medicare Part D Disclosure Notice to CMS			
	Medicare Part D Disclosure Notice to Eligible Individuals			
	Section 105(h) Nondiscrimination Testing			

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## ANNUALLY continued

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Cafeteria Plan, Health FSA and DCAP Nondiscrimination Testing			
	HSA Notice to Employees Regarding Employer Contributions			
	Women's Health and Cancer Rights Act (WHCRA)			

## EVERY 3 YEARS

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Notice of Privacy Practices			

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## EVERY 5-10 YEARS

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Summary Plan Description (SPD)			
	Internal Claims and Appeals and External Review Procedures			
	CHIPRA			
	Newborns' and Mothers' Health Protection Act (NMHPA)			

## COBRA COVERAGE TERMED

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Notice of Early Termination of COBRA Coverage			
	Rescission of Coverage			

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## COVERAGE TERMED

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	COBRA Election Notice			
	Notice of Unavailability of Continuation Coverage			
	Rescission of Coverage			
	Medicare Part D Disclosure Notice to Eligible Individuals			
	Uniformed Services Employment and Reemployment Rights Act (USERRA)			

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# NEW ENROLLEE

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	COBRA Initial Notice			
	Summary Plan Description (SPD)			
	Summary of Material Modification (SMM)			
	Summary of Material Reduction in Covered Services or Benefits			
	Grandfathered Health Plans			
	Prohibition on Stand-alone HRA's			
	Dependent Coverage			
	Internal Claims and Appeals and External Review Procedures			
	Annual and Lifetime Dollar Limits			
	Patient Protections			

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## NEW ENROLLEE continued

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Preventive Care Mandate			
	Pre-existing Condition Exclusion Prohibition			
	Notice of Privacy Practices			
	Newborns' and Mothers' Health Protection Act (NMHPA)			
	Women's Health and Cancer Rights Act (WHCRA)			

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## NEWLY ELIGIBLE

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Summary of Benefits and Coverage (SBC)			
	Special Enrollment Rights			
	CHIPRA			
	Medicare Part D Disclosure Notice to Eligible Individuals			

## ONGOING

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Simple Cafeteria Plan Safe Harbor			
	Health FSA Limit			
	Fidelity Bond			
	General Notice			

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## ONGOING continued

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Internal Claims and Appeals and External Review Procedures			
	OTC Medicines or Drugs			
	Patient Protections			
	Patient-centered Outcomes Research (PCOR) Institute Fee			
	Notice of Exchange			
	Form W-2 Reporting Requirement			
	90-day Waiting Periods			
	Maximum Out-of-pocket (MOOP) Limit			
	Coverage for Clinical Trials			
	Employer Mandate			

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## ONGOING continued

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Information Reporting under Section 6055			
	Informational Reporting under Section 6056			
	Wellness Program Requirements			
	HIPAA Nondiscrimination Rules for Eligibility and Benefits			
	Privacy Policies and Procedures			
	Security Policies and Procedures			
	Business Associate Agreement			
	Medicare Part D Disclosure Notice to Eligible Individuals			
	Medicare Prohibitions			
	TRICARE Prohibitions			

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## ONGOING continued

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Section 105(h) Nondiscrimination Testing			
	Mental Health Parity and Addiction Equity Act (MHPAEA)			
	Uniformed Services Employment and Reemployment Rights Act (USERRA)			

## UPON PLAN CHANGES

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Cafeteria Plan Documents			
	Summary of Material Modification (SMM)			
	Summary of Material Reduction in Covered Services or Benefits			
	Preventive Care Mandate			
	Pre-existing Condition Exclusion Prohibition			

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## UPON PLAN CHANGES continued

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Summary of Benefits and Coverage (SBC)			
	Women's Preventive Care Services			
	Notice of Privacy Practices			
	Medicare Part D Disclosure Notice to CMS			
	Medicare Part D Disclosure Notice to Eligible Individuals			

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## UPON REQUEST

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Plan Documents			
	Summary Plan Description (SPD)			
	Summary of Material Modification (SMM)			
	Summary Annual Report (SAR)			
	Internal Claims and Appeals and External Review Procedures			
	Summary of Benefits and Coverage (SBC)			
	Medicare Part D Disclosure Notice to Eligible Individuals			

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## AS REQUIRED

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Cafeteria Plan Documents			
	Eligibility Notice			
	Rights & Responsibilities Notice			
	Designation Notice			
	Notice of Opportunity to Change Health Plans			
	Notice of Nonpayment of Premiums			
	Grandfathered Health Plans			
	Dependent Coverage			
	Internal Claims and Appeals and External Review Procedures			
	Annual and Lifetime Dollar Limits			

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## AS REQUIRED continued

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Patient Protections			
	Rescission of Coverage			
	Notice of Exchange			
	Summary of Benefits and Coverage (SBC)			
	90-day Waiting Periods			
	Employer Mandate			
	Information Reporting under Section 6055			
	Informational Reporting under Section 6056			
	Breach Notifications			
	Medicare Part D Disclosure Notice to Eligible Individuals			

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## AS REQUIRED continued

COMPLETED	DOCUMENT TITLE	ASSIGNED TO	DATE COMPLETED	DATE LAST COMPLETED
	Genetic Information Nondiscrimination Act (GINA)			
	Mental Health Parity and Addiction Equity Act (MHPAEA)			
	Qualified Medical Child Support Order (QMCSO)			
	Taxation of Group Term Life Insurance			
	Taxation of Domestic Partner Benefits			

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