

Investigations & Enforcement, Publications

Guide to Dealing with Department of Labor Investigations of Retirement Plans

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The Department of Labor (DOL) routinely opens investigations of fiduciaries to plans covered by the Employee Retirement Income Security Act of 1974 (ERISA) and service providers to those plans to determine whether any person “has violated or is about to violate” Title I of ERISA. Understanding the process can help reduce the administrative burden and cost as well as reduce stress associated with a DOL investigation.

In the *Practical Law* article titled, “Guide to Dealing with Department of Labor Investigations of Retirement Plans,” partners [Steve Saxon](#) and [George Sepsakos](#) offer guidance to practitioners facing a DOL investigation and provide:

- An overview of the DOL’s enforcement authority and investigative process.
- A description of what to expect during the investigation.
- Practical tips to manage and streamline processes and outcomes.

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