

# How to prepare for a compliance audit

Preparing for a compliance audit can feel overwhelming, but with the right preparation and employee training, it can be managed smoothly and efficiently.

The Immigration and Customs Enforcement (ICE) is the largest investigative agency of the U.S. Department of Homeland Security, and they can initiate an audit called a Notice of Inspection (NOI) Audit. This formal review examines an employer's Form I-9 records to ensure compliance with the Immigration Reform and Control Act (IRCA) and confirm that employees are authorized to work in the U.S.

Here are a few things to keep in mind to prepare for a potential review.

## COMPLIANCE TRAINING & DOCUMENTATION

YES

NO

Do you have compliance training in place for your team?

☐☐

Have they completed the training?

☐☐

## RECORD-KEEPING & ORGANIZATION

YES

NO

Do your employees know where the Form I-9s are stored?

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Are Form I-9s stored securely and easily accessible?

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Do you conduct proactive, internal reviews to identify and correct any errors, omissions, or compliance risks?

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Have you confirmed documentation for completeness and accuracy including identifying missing signatures, incorrect dates, or invalid documents?

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Are payroll records, employee rosters and other documents easily located in the event of an audit?

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If you answered "No" to any of these questions, you may increase your risk of fines and penalties in the event of an audit. Consider working with a trusted compliance partner to refine your process, strengthen your internal reviews and reduce potential risks.

Hundreds of customers across the U.S. trust us to help them navigate complex immigration and worker documentation requirements.

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