



FIDUCIARY
EDUCATION

RETIREMENT PLAN COMMITTEE REVIEW CHECKLIST

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Retirement Plan Committee Review Checklist	Q1	Q2	Q3	Q4
Plan Administration Evaluation				
Delinquent Contribution Analysis (Delinquent Contribution Worksheet)	X	X	X	X
Eligibility and Enrollment	X	X	X	X
Plan Asset Reconciliation (Plan Asset Reconciliation Worksheet)	X	X	X	X
Notice and Communication Review	X	X	X	X
Census Data Review	X	X	X	X
Missing Participant Review (Missing Participant Worksheet)	X		X	
Bonding Requirements				X
Plan Investments				
Plan Investment Report/Screen	X	X	X	X
Investment Policy Statement Review/Development		X		
404(c) Compliance Review			X	
QDIA Review				X
Participant Outcomes				
Participation Review (+/-)	X			
Discussion of On-Site Education Event	X		X	
Goal Setting & Review				X
Vendor Education Enhancements	X			
Plan Wellness				
Cost Calculation and Fee Benchmark		X		
Plan Design Review		X		
Vendor Reviews			X	
Fiduciary Governance				
Committee Meeting Minutes & Documentation	X	X	X	X
Industry Trends & Updates		X		X
Legislation & Litigation Trends/Updates	X		X	
Plan Sponsor Fiduciary Training (http://fiduciaryeducation.com/p/erisasmartfiduciaryeducation)				X

NOTE*: For sample purposes only. Fiduciary Education and ERISA SMART does not take any fiduciary liability by providing this tool/worksheet. A committee will want to establish review and planning procedures unique to their plan.