INVESTMENT COMMITTEE GOVERNANCE CHECKLIST: 2015

	Annual Review	Assigned to	Date	COMPLETED
1 <	Investment Committee Oversight			
•	Investment Review Meetings			
	 First Quarter 			
	 Second Quarter 			
	 Third Quarter 			
	 Fourth Quarter 			
	Minutes Kept			
	First Quarter			
	Second Quarter			
,	Third Quarter			
	o Fourth Quarter			
	"Other" Committee Meetings			
	"Other" Committee Meeting Minutes kept			
2 ⋖	Investment Oversight Process			
	Annual Review of IPS			
;	File investment reports			
;	Fund changes/mapping			
	0			
	0			
	Watch List			
	0			
	0			
	0			
	Review investment management fees for reasonableness			
	Review Revenue Sharing			
	Review most recent asset allocation study			
3 ⋖	Fiduciary Insurance & Bonds			
•	Review ERISA fidelity bond coverage levels			
-	Document fidelity bond and insurance coverage for each plan			



INVESTMENT COMMITTEE GOVERNANCE CHECKLIST: 2015

Consult with liability insurance provider for updates on coverage 408b-2 Service Agreements Collect and Review provider fees and services for reasonableness Compliance Review annual compliance due dates (e.g., Form 5500, plan testing, etc.) SSAE 16 report received from service provider Prepare, file and retain records related to Form 5500 Annual Report (including plan audit if required) Establish a process of records management ERISA Notices Summary Annual Report to participants Summary Plan Description with 404c description 404c ODIA 404a-5 404a-5 404a-5 DIA "Change" Notice 404a-5 DIA "Change" Notice Employee Education Employee Education Education Plan Review	Annual Review	Assigned to	Date	COMPLETED
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Compliance Review annual compliance due dates (e.g., Form 5500, plan testing, etc.) SSAE 16 report received from service provider Prepare, file and retain records related to Form 5500 Annual Report (including plan audit if required) Establish a process of records management ERISA Notices Summary Annual Report to participants Summary Plan Description with 404c description 404c QDIA QDIA 404a-5 A04a-5 DIA "Change" Notice 404a-5 DIA "Change" Notice				
Review annual compliance due dates (e.g., Form 5500, plan testing, etc.) SSAE 16 report received from service provider Prepare, file and retain records related to Form 5500 Annual Report (including plan audit if required) Establish a process of records management ERISA Notices Summary Annual Report to participants Summary Plan Description with 404c description Advac QDIA Adva-5 DIA "Change" Notice a 404a-5 DIA "Change" Notice Employee Education	Collect and Review provider lees and services for reasonableness			
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(including plan audit if required) • Establish a process of records management ERISA Notices • Summary Annual Report to participants • Summary Plan Description with 404c description • 404c • QDIA • 404a-5 • 404a-5 DIA "Change" Notice • 404a-5 DIA "Change" Notice				
● Establish a process of records management ERISA Notices ● Summary Annual Report to participants ● Summary Plan Description with 404c description ● 404c ● QDIA ● 404a-5 ○ 404a-5 DIA "Change" Notice ○ 404a-5 DIA "Change" Notice				
ERISA Notices Summary Annual Report to participants Summary Plan Description with 404c description 404c QDIA 404a-5 404a-5 DIA "Change" Notice 404a-5 DIA "Change" Notice				
Summary Annual Report to participants Summary Plan Description with 404c description 404c QDIA 404a-5 404a-5 404a-5 DIA "Change" Notice 404a-5 DIA "Change" Notice Employee Education Employee Education	Establish a process of records management			<u> </u>
QDIA 404a-5 0 404a-5 DIA "Change" Notice 0 404a-5 DIA "Change" Notice Employee Education	Summary Plan Description with 404c description			
● 404a-5 ○ 404a-5 DIA "Change" Notice ○ 404a-5 DIA "Change" Notice Employee Education				
 404a-5 DIA "Change" Notice 404a-5 DIA "Change" Notice Employee Education				
○ 404a-5 DIA "Change" Notice Employee Education	• 404a-5			
Employee Education				
	o 404a-5 DIA "Change" Notice			
Education Plan Review	Employee Education			
	Education Plan Review			



INVESTMENT COMMITTEE GOVERNANCE CHECKLIST: 2015

	Periodic Review	Assigned to	Last Reviewed
7 <	Periodic Review	<u> </u>	
•	Review ERISA 404a Fiduciary Duties		
	Payroll Set-Up matches Plan provisions		
	 Compensation definition 		
	 Participation Requirements 		
	 IRS annual limits 		
	Confirm Employer Contributions made according to Plan documents to		
	appropriate employees		
	Timeliness of Payroll Contributions		
	Beneficiary Designation Forms		
	Beneficiary Designation Forms		
	Force-Outs		
	Forfeitures		
	• QDRO		
	 Hardships 		

