



Plan Year: \_\_\_\_\_ Plan Name: \_\_\_\_\_

### PLAN GOVERNANCE

Yes	N/A	Meeting Documents	Yes	N/A	Plan Governance Best Practices
		Meeting minutes			Fiduciary file is maintained and contains all pertinent plan documents
		Meeting date(s): _____			
		<b>Plan Documents</b>			Maintain a committee charter
		Base plan document			Retain proof of fiduciary training
		Adoption agreement			Document loan policy
		Plan amendments			Obtain fiduciary insurance
		Effective date(s): _____			<b>Regulatory Documents</b>
		Summary plan description			Form 5500 filing, prior plan year
		IRS determination letter			Independent plan audit, prior plan year
		Hardship procedures			Fidelity bond
					IRS corrections documentation (if applicable)

### INVESTMENTS

Yes	N/A	Investments	Yes	N/A	Investments Best Practices
		Investment policy statement (IPS) is approved and followed			Utilize a 3(21) investment advisor or 3(38) investment manager as an investment fiduciary
		Qualified default investment alternative (QDIA) is documented in the IPS			
		Review investment fees for reasonableness			Evaluate investment vehicle share and class
		Plan includes a broad, well-diversified investment lineup that covers the risk and return spectrum			Document intention to be 404(c) compliant in the Form 5500 and summary plan description
		Investment review was conducted at least annually and measured against the IPS			



### PROVIDER DOCUMENTS

Yes	N/A	Recordkeeping Provider	Yes	N/A	Provider Management Best Practices
		Recordkeeper service agreement			Ensure providers disclose fiduciary status
		Recordkeeper agreement amendments			Review provider fees for reasonableness
		Recordkeeper 408(b)(2) fee disclosures			Review missing participant procedures
		<b>Third Party Administrator (if applicable)</b>			Review cybersecurity process and procedures
		TPA service agreement			Document fee payment methodology for each vendor
		TPA agreement amendments			
		TPA 408(b)(2) fee disclosures			
		<b>Advisor</b>			
		Advisor service agreement			
		Advisor agreement amendments			
		Advisor 408(b)(2) fee disclosures			

### EMPLOYEE COMMUNICATIONS

Yes	N/A	Participant Notice Distribution	Yes	N/A	Employee Communications Best Practices
		404(a)(5) participant fee disclosure			Participants have access to investment advice
		Summary annual report (SAR), prior plan year			Group employee education meetings Meeting date(s): _____
		Qualified default investment alternative (QDIA)			Regular communication to new employees and ongoing education program
		Plan investment(s) changes Effective date(s): _____			
		Summary of material modifications (if applicable)			
		Safe harbor (if applicable)			
		Automatic enrollment (if applicable)			
		Summary plan description (as applicable)			