

Retirement Plan Investment Committee Checklist

Committee Responsibilities

- Clearly define committee purpose, structure, responsibilities and roles.
- Draft/formally adopt Investment Policy Statement.
- Develop policy to address/govern potential conflicts of interest.
- Committee members will be acting in a fiduciary capacity.

Manager Evaluation/Selection/Monitoring

- Establish formal process for hiring, evaluating, terminating managers.
- Define methodology for selecting managers.
- Monitor investment strategy execution.
- Ensure there is no style drift.
- Compare investments against peer group.
- Measure progress in meeting investment objectives.

Administrative Oversight

- Develop methodology to ensure Charter/Investment Policy compliance.
- Review/update Investment Policy and related plan documents at least annually.
- Assess overall plan/portfolio risk factors at least annually.
- Review fund lineup on a regular basis with advisor.
- Develop process to ensure accounting standards comply with plan rules/regulations.
- Review vendor agreements.
- Work with qualified provider or TPA who will prepare IRS and other required forms/reports.
- Remain current with regulatory changes.

Plan Fees/Costs

- Assess fees on a regular basis.
- Ensure fees are being properly disclosed.
- Utilize low cost index options when and as appropriate.

Fiduciary Education

- Create training programs for current/new members on investments, asset allocation, plan provider due diligence.
- Identify industry publications, organizations, websites, and other sources of relevant information.

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