

## Fiduciary Fitness Program: Report Card

Action Items	Reference Materials	Documentation	Requirements Met	Comments
<b>Fiduciary Education</b>	Reference Guide: Section 2 All Education Modules	Education Module Checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Selecting and Monitoring Fiduciaries Identifying and Monitoring Parties in Interest</b>	Reference Guide: Section 3 Education Modules 1, 2 & 3	Documenting Fiduciaries, Consultants and Service Provider Responsibilities	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Reference Guide: Section 3 Education Modules 1, 2 & 3			
<b>Selecting and Monitoring Service Providers</b>	Reference Guide: Section 3 Education Modules 4 & 5	Selecting and Monitoring: Consultants, Plan Providers, Auditors Vendor Analysis & Benchmarking Compensation Disclosure	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Selecting and Monitoring Plan Investments</b>	Education Module 6	Investment Policy Statement	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		Investment Scorecard <sup>SM</sup>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>§404(a) &amp; §404(c) Compliance</b>	Reference Guide: Section 4 Education Module 7	§404(a) & §404(c) Checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		§404(c) Notice & Policy Statement	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Maintaining a Fiduciary File</b>	Reference Guide: Section 4 Education Module 8	Maintaining Your Fiduciary File Checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Investing in Employer Securities</b>	Reference Guide: Section 5 Education Module 9	§404(c) Notice and Policy Statement Addendum	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Consider Hiring Outside Independent Fiduciary to Handle Securities
<b>Minimizing Risk: Fidelity Bond and Fiduciary Insurance</b>	Reference Guide: Section 6 Education Module 10	Copy of Bond	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		Copy of Policy	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Claims and Appeal Procedures</b>	Reference Guide: Section 7 Education Module 11	Documentation of Claims and Appeals (actual events)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Plan Demographic and Document Review</b>	Reference Guide: Section 7 Education Module 12	<u>Annual Plan Review</u> Sample Notices: ACAs, QACAs and EACAs, Initial QDIA, Annual QDIA , Safe Harbor and Summary Annual Report	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Prohibited Transactions</b>	Reference Guide: Section 7 Education Module 13		<input type="checkbox"/> Yes <input type="checkbox"/> No	