

# InterServ Roles and Responsibilities

The roles and responsibilities for the various tasks needed to support the successful delivery of a retirement plan may be shared by several partners.

	InterServ	Financial Advisor	Plan Sponsor	Record Keeper
<b>(P) Primary Role    (S) Secondary Role</b>				
<b>PLAN INSTALLATION</b>				
◇ Perform investment analysis	P	S		
◇ Select investment options	P	S		
◇ Develop asset allocation modeling	P			
◇ Provide enrollment materials		P		P
◇ Conduct enrollment meetings		P	P	
◇ Prepare enrollment kits		P		S
◇ Gather historical data		P	P	S
◇ Gather census data and investment allocations		S	P	
◇ Make investment mapping recommendations	P	S		
<b>ONGOING SERVICES</b>				
◇ Plan Sponsor client relationship management		P		
◇ Online investment fiduciary monitoring	P	S	S	
◇ Contracted investment fiduciary	P			
◇ Continuing participant education		S	P	
◇ Employee/employer contributions				P
◇ Develop & monitor Investment Policy Statement	P			
◇ Ongoing investment monitoring & consulting	P	S		
◇ Implement investment changes			S	P
◇ Periodic plan review	P	P	P	
◇ Regulatory monitoring	P	S	S	
◇ Overall effectiveness assessment	P	P		
<b>REPORTING and DISCLOSURE</b>				
◇ Quarterly Monitoring Reports	P			
◇ Quarterly Participant Statements				P