

## **C. DOCUMENTS REQUIRED FOR REVIEW FOR ACCREDITATION STUDY**

### **SUBMITTAL ITEMS:**

Copies of the following items should be forwarded to the Contractor **in advance** of their on-site visit.

1. Governing Documents (currently in force)
  - a) Joint Powers Agreement
  - b) Bylaws
2. List of Members Participating in Each Program
3. Description of Programs Provided by JPA
4. Minutes and Agenda (most recent meetings)
  - a) Board of Directors
  - b) Executive Committee
  - c) Budget Approval
  - d) Investment Policy
5. Audits
  - a) Financial (most recent year end)
  - b) Claims (Workers' Compensation, Liability, and Benefits)
  - c) Actuarial (Workers' Compensation, Liability)
  - d) Actuarial or Rate Study (Benefits)
6. Contracts with Major Service Providers and Certificates of Insurance
  - a) Program Administrator
  - b) Claims Administrator
  - c) Investment Advisor/Broker
  - d) Investment Custodian
  - e) Insurance Broker
7. Financial Reports
  - a) Treasurer's Report to the Board of Directors
  - b) Annual Budget
  - c) Report from Investment Advisor (Monthly or Quarterly) and/or pooled investment fund
  - d) Transaction Report from Custodian
8. Miscellaneous (if available)
  - a) Annual Report
  - b) Newsletter
  - c) Mission statement
  - d) Strategic Plan

## **REVIEW ITEMS:**

The following items should be available **on-site** for review by the Contractor. In some cases, the Contractor may request copies at the time of their visit.

1. Policy Statements (and documentation showing date approved by Board):
  - a) Investment
  - b) Conflict of Interest (evidence of FPPC approval)
  - c) Loss Control
  - d) Record Retention Policy
  - e) Coverage & Claims Dispute
  - f) Frequency of Actuarial Studies and Claims Audits
  - g) Target Equity Policy
  - h) Settlement Authority
  - i) Written documentation of Investment Controls
2. Coverage Documents for: (How are they distributed to members? How are invoices balanced to these policies?)
  - a) Pooled Layer Coverages to JPA Members
  - b) Commercial Insurance Policies
3. State and Local Filings (see Accreditation Manual, Appendix D) (Signed and Dated)
  - a) Secretary of State
  - b) County Clerks
  - c) State Controller
  - d) FPPC
  - e) Workers' Compensation Master Certificate and Annual Report to Department of Industrial Relations, Office of Self-Insurance Plans (Master Filing Only)
  - f) Form 700 (Statements of Economic Interest)
4. Description of Evaluation Process of Commercial Insurance or Other Methodology to Cover JPA Exposure
5. Insurance Policies
  - a) General Liability and Automobile (owned and non-owned)
  - b) Workers' Compensation
  - c) Property
  - d) Fidelity
  - e) Trustees E&O
  - f) Treasurer Bond
- 6.. Posting of Meeting Notice to comply with the Brown Act.
7. Treasury Report of Investments (Quarterly) (if managing investments)

As revised October 31, 2006.