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
   j) Underwriting Policy (if completed)

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)