

ASSOCIATION OF CALIFORNIA WATER AGENCIES
JOINT POWERS INSURANCE AUTHORITY
CONFLICT OF INTEREST CODE

The Political Reform Act (Government Code Section 81000, et seq.) requires state and local government agencies to adopt and promulgate conflict of interest codes. The Fair Political Practices Commission has adopted a regulation (2 Cal. Code of Regs. Sec. 18730) that contains the terms of a standard conflict of interest code, which can be incorporated by reference in an agency's code. After public notice and hearing, the standard code may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. Therefore, the terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference. This regulation and the attached Appendices, designating positions and establishing disclosure categories, shall constitute the conflict of interest code of the **Association of California Water Agencies Joint Powers Insurance Authority (ACWA JPIA)**.

Individuals holding designated positions shall file their statements of economic interests with the **ACWA JPIA**, which will make the statements available for public inspection and reproduction. (Gov. Code Sec. 81008.) All statements will be retained by the **ACWA JPIA**.

ASSOCIATION OF CALIFORNIA WATER AGENCIES
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APPENDIX A- DESIGNATED POSITIONS

<u>Designated Positions to file:</u>	<u>Disclosure Category</u>
Auditor/Controller	1, 2, 4, 5, 6
Director of Administration	1, 2, 4, 5, 6
Director of Claims	1, 2, 4, 5, 6
Director of Finance	1, 2, 4, 5, 6
Director of Insurance Services	1, 2, 4, 5, 6
Employee Benefits Manager	1, 2, 4, 5, 6
General Counsel	1, 2, 4, 5, 6
Finance Manager	3, 4
Lead Risk Management Advisor	3, 4
Liability & Property Claims Manager	3, 4
Risk Management Advisor	3, 4
Risk Management Program Manager	3, 4
Senior Claims Examiner	3, 4
Senior Risk Management Advisor	3, 4
Senior Workers' Compensation Claims Examiner	3, 4
Training Manager	3, 4
Workers' Compensation Claims Manager	3, 4
Workers' Compensation Claims Examiner	3, 4
Members of the following committees:	
Employee Benefits Program	1, 4, 5
Finance & Audit	1, 4, 5
Liability Program	1, 4, 5
Personnel	1, 4, 5
Property Program	1, 4, 5
Workers' Compensation Program	1, 4, 5
Risk Management	1, 4, 5
Consultants/New Positions	*

*With respect to consultants/new positions, the Chief Executive Officer may determine in writing that a particular consultant or new position, although a "designated position," is hired to perform a range of duties that is limited in scope and thus, is not required to comply fully with the disclosure requirements described in this section. Such determination shall include a description of the consultant's or new position's duties and, based upon that description, a statement of the extent of disclosure requirements. The Chief Executive Officer's determination is a public record and shall be retained for public inspection in the same manner and location as this conflict of interest code. (Government Code Section 81008.)

Officials Who Manage Public Investments:

The following positions are NOT covered by the code because they must file under Government Code Section 87200 and, therefore, are listed for informational purposes only:

Executive Committee Members/Board Members
Chief Executive Officer/Secretary/Treasurer

An individual holding one of the above listed positions may contact the Fair Political Practices Commission for assistance or written advice regarding their filing obligations if they believe that their position has been categorized incorrectly. The Fair Political Practices Commission makes the final determination whether a position is covered by Government Code Section 87200.

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APPENDIX B- DISCLOSURE CATEGORIES

Disclosure Categories

Category 1: Investments and business positions in business entities, and income (including receipt of loans, gifts, and travel payments), from sources of the type that contract with ACWA JPIA to supply goods, services, materials, or supplies.

Category 2: Interests in real property located within the Authority's jurisdiction of the type purchased or leased by the ACWA JPIA for its use.

Category 3: Investments and business positions in business entities, and sources of income (including receipt of gifts, loans, and travel payments) from, entities that supply services, materials, products, supplies, commodities or equipment of the type utilized by the designated position's division or department. Such services include, but are not limited to, insurance coverage, underwriting, claims processing, and risk management.

Category 4: Investments and business positions in business entities, and income (including receipt of loans, gifts, and travel payments), from sources that have filed a claim or have a claim pending that are reviewed and administered by the ACWA JPIA.

Category 5: Investments and business positions in business entities, and income (including receipt of loans, gifts, and travel payments), from sources that are engaged in the performance of work or services of the type utilized by the ACWA JPIA, including insurance companies, carriers, holding companies, underwriters, brokers, solicitors, agents, adjusters, claims managers, and actuaries.

Category 6: Investments and business positions in business entities, and income (including receipt of loans, gifts, and travel payments), which are financial institutions including banks, savings and loan associations and credit unions.

This is the last page of the conflict of interest code of the **Association of California Water Agencies Joint Powers Insurance Authority**.



CERTIFICATION OF FPPC APPROVAL

Pursuant to Government Code Section 87303, the conflict of interest code for the **Association of California Water Agencies Joint Powers Insurance Authority** was approved on 1/9/ 2017. This code will become effective on 2/8/ 2017.

A handwritten signature in black ink, appearing to read "B. Lau", written over a horizontal line.

Brian G. Lau

Senior Commission Counsel

Fair Political Practices Commission