



PRISM

Public Risk Innovation,
Solutions, and Management

PUBLIC RISK INNOVATION, SOLUTIONS, AND MANAGEMENT (PRISM) 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) which contains the terms of the standard conflict of interest code and which can be incorporated by reference in an agency's code. After public notice and hearing it may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. Therefore, the terms of 2 Cal. Code of Regs. 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 Appendix designating officials and employees and establishing disclosure categories, shall constitute the conflict of interest code of **Public Risk Innovation, Solutions, and Management (PRISM)**.

Individuals holding designated positions shall file their statements with **PRISM** who will make the statements available for public inspection and reproduction (Gov. Code Section 81008). **Statements for all designated positions shall be retained by PRISM.**

PUBLIC RISK INNOVATION, SOLUTIONS, AND MANAGEMENT
(PRISM)
APPENDIX TO THE CONFLICT OF INTEREST CODE

<u>Designated Positions</u>	<u>Disclosure Category</u>
Members and Alternates of the Board of Directors	*
Members and Alternates of Committees	1, 2, 3, and 4
Chief Executive Officer	*
Chief Operating Officer	*
Chief Financial Officer	1, 2, 3, 4, and 5
Chief Legal Counsel	1, 2, 3, and 4
Chief Member Services Officer	1, 2, 3, and 4
Chief Information Officer	1, 2, 3, and 4
Chief Actuary	1, 2, 3, and 4
Underwriting Manager	1, 3, and 4
Director of Employee Benefits	1, 3, and 4
Director of Liability Claims	1, 3, and 4
Director of Workers' Compensation Claims	1, 3, and 4
Rating Manager	1, 3, and 4
Workers' Compensation Claims Manager	1, 3, and 4
Director of Data & Analytics	3 and 4
Information Technology Manager	3 and 4
Human Resources Manager	3 and 4
Director of Risk Control	3 and 4
Controller	1, 2, 3, and 4
Office Manager	3
Meeting Planner	3
Consultants/New Positions	* *

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

Members and Alternates of the Board of Directors
Chief Executive Officer
Chief Operating Officer

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 Section 87200.

DISCLOSURE CATEGORIES:

Disclosure Category 1

Persons designated in this category must disclose business entities in which they have an investment, business position, or which are sources of income, including loans, gifts, and travel payments to them if such entities filed claims against PRISM or any of its members during the reporting period.

Disclosure Category 2

Persons designated in this category must disclose business entities in which they have an investment, business position, or which are sources of income, including loans, gifts, and travel payments to them if such entities are of the type in which PRISM is empowered to invest its funds, including financial institutions, but not limited to banks, savings and loan associations, and credit unions.

Disclosure Category 3

Persons designated in this category must disclose business entities in which they have an investment, business position, or which are sources of income, including loans, gifts, and travel payments to them if such entities are of the type that contract with PRISM to supply goods, services, materials, supplies, or leased space.

Disclosure Category 4

Persons designated in this category must disclose investments and business positions in business entities and sources of income, including loans, gifts, and travel payments that are engaged in the business of insurance including but not limited to insurance companies, holding companies investing in insurance companies, insurance underwriting agencies, insurance brokers, adjusters, claims managers, or insurance agencies.

Disclosure Category 5

Persons designated in this category must disclose interests in real property located in the jurisdiction that are used by or are of the type that could be acquired by PRISM, including property located within a two-mile radius of the use or potential site.

* Disclosure Category – Consultants/New Positions

Consultants and new positions shall be included in the list of designated positions and shall disclose pursuant to the broadest disclosure category in the code subject to the following limitations:

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 fully comply with the disclosure requirements in this section. Such written 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.