



INFORMATIONAL DOCUMENT FOR AUDIT COMMITTEE

2013 2nd Quarter Whistleblower Hotline Report
Dante Robinson, Chief of Internal Affairs

Corporate Investigations and Programs investigate matters raised through the Ethics Hotline, Management Referrals, and Privacy.

For the 2nd quarter, there were 117 reports received highlighted in the tables below based on the category the reporting employee or individual used. The tables show the breakdown by Investigation Status, Category, and Sources.

The table below provides a breakdown and number by investigation status.

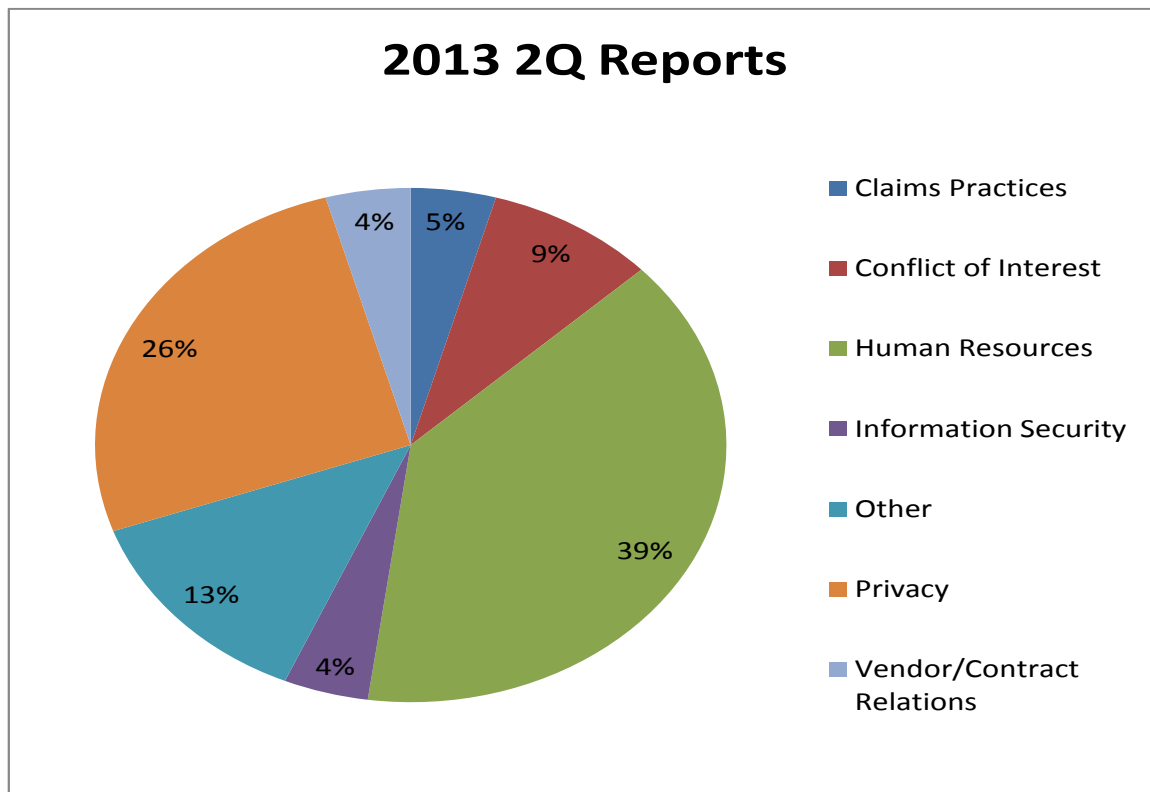
Investigation Status	Total
Investigation Completed - Allegation not Substantiated	9
Investigation Completed and Substantiated. Action Taken.	7
Investigation Completed Pending Action	4
Investigation In Process	97
Grand Total	117

The table below provides a breakdown and number by category of the topics of the cases reported to the Ethics Hotline only.

Count of Category	
Category	Total
Accounting and Financial Controls	0
Claims Practices	1
Compliance and Regulatory Matters	0
Conflict of Interest	2
Human Resources	9
Information Security	1
Inquiry	0
Other	3
Privacy	6
Vendor/Contract Relations	1
Grand Total	23

The table and chart below provides a breakdown by category and sources.

Count of Source	Source			
Category	Ethics Hotline	Management Referral	Privacy	Grand Total
Accounting and Financial Control	0			0
Claims Practices	1			1
Compliance and Regulatory Matters	0			0
Conflict of Interest	2			2
Human Resources	9	6		15
Information Security	1			1
Inquiry	0			0
Other	3			3
Privacy	6	2	86	94
Vendor/Contract Relations	1			1
Grand Total	23	8	86	117





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CODE OF CONDUCT COMPLIANCE BULLETIN 2013 2nd Quarter

All State Fund Workforce members should demonstrate fair, ethical, and responsible behavior. Everyone should feel comfortable expressing themselves regarding ethical concerns, improper activity or privacy/confidentiality breach. Whatever method you choose to raise concerns, you are protected from retaliation. State Fund is committed to doing the right thing.

This quarterly bulletin provides a summary of actual investigative reporting including actions taken to correct misconduct.

The following report reflects the 2nd quarter which includes the date of receipt, the topics reported, and their current status.

Employees continue to send confidential, proprietary, and personally identifiable information to their home email addresses. This makes privacy or security breach the most investigated topic for the 2nd quarter and Privacy and Confidentiality (EC & F 2.0) the most frequently breached Corporate Policy under the 2013 Code of Conduct. Preventing the improper disclosure or use of private/confidential information is everyone's responsibility.

While all reports are confidential and some reporters are anonymous, we are sharing only a summary of the reports received.

2013 2nd Quarter Whistleblower Hotline Report Summary

Date Received	Source	Topic	Investigation Status
4/2013	Privacy	Privacy or Data Security Breach	Investigation Completed and Substantiated. Action Taken.
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Ethics Hotline	Privacy or Data Security Breach	Investigation Completed - Allegation not Substantiated
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Ethics Hotline	Privacy or Data Security Breach	Investigation Completed and Substantiated. Action Taken.
4/2013	Ethics Hotline	Privacy or Data Security Breach	Investigation In Process
4/2013	Ethics Hotline	Human Resources - Hiring Practices	Investigation Completed and Substantiated. Action Taken.



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2013 2nd Quarter Whistleblower Hotline Report Summary

Date Received	Source	Topic	Investigation Status
4/2013	Privacy	Privacy or Data Security Breach	Investigation Completed Pending Action
4/2013	Privacy	Privacy or Data Security Breach	Investigation Completed Pending Action
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation Completed and Substantiated. Action Taken.
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation Completed and Substantiated. Action Taken.
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation Completed - Allegation not Substantiated
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Ethics Hotline	Privacy or Data Security Breach	Investigation Completed - Allegation not Substantiated
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process



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4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
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4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation Completed Pending Action
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation Completed and Substantiated. Action Taken.
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process



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4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
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4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Management Referral	Privacy or Data Security Breach	Investigation In Process
5/2013	Ethics Hotline	Policy Practices	Investigation Completed - Allegation not Substantiated
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Ethics Hotline	Privacy or Data Security Breach	Investigation Completed - Allegation not Substantiated
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
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5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation Completed Pending Action
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process



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5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
5/2013	Ethics Hotline	Claims Practices	Investigation Completed and Substantiated. Action Taken.
5/2013	Ethics Hotline	Human Resources - Time Theft	Investigation In Process
5/2013	Ethics Hotline	Discrimination	Investigation In Process
5/2013	Ethics Hotline	Human Resources - Misuse / Abuse of Time and Funds	Investigation Completed - Allegation not Substantiated
5/2013	Management Referral	Privacy or Data Security Breach	Investigation In Process
5/2013	Management Referral	Human Resources - Misuse of Benefits (Tran Ben)	Investigation In Process
5/2013	Ethics Hotline	Physical Access	Investigation In Process
5/2013	Management Referral	Human Resources - Retaliation	Investigation In Process
5/2013	Management Referral	Human Resources - Retaliation	Investigation In Process
5/2013	Ethics Hotline	Human Resources - Misconduct, Inappropriate and/or Offensive Behavior	Investigation In Process
6/2013	Ethics Hotline	Vendor Fraud	Investigation Completed - Allegation not Substantiated
6/2013	Ethics Hotline	Human Resources - Favoritism	Investigation In Process
6/2013	Ethics Hotline	Claims Practices	Investigation In Process
6/2013	Ethics Hotline	Policy Practices	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process



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6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Management Referral	Human Resources - Misconduct, Inappropriate and/or Offensive Behavior	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
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6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Ethics Hotline	Human Resources - Misconduct, Inappropriate and/or Offensive Behavior	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Management Referral	Human Resources - Misconduct, Inappropriate and/or Offensive Behavior	Investigation In Process
6/2013	Management Referral	Human Resources - Misuse of State Fund's Systems	Investigation Completed - Allegation not Substantiated



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6/2013	Ethics Hotline	Conflict of interest	Investigation Completed - Allegation not Substantiated
6/2013	Ethics Hotline	Employee Fraud	Investigation In Process
6/2013	Ethics Hotline	Retaliation	Investigation In Process
6/2013	Ethics Hotline	Human Resources - Hiring Practices	Investigation In Process
6/2013	Ethics Hotline	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process

If you have any questions, concerns, or doubts of what action to take when placed in an ethical dilemma, consult your manager, supervisor, or the Ethics unit at Ethics@scif.com.