

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.

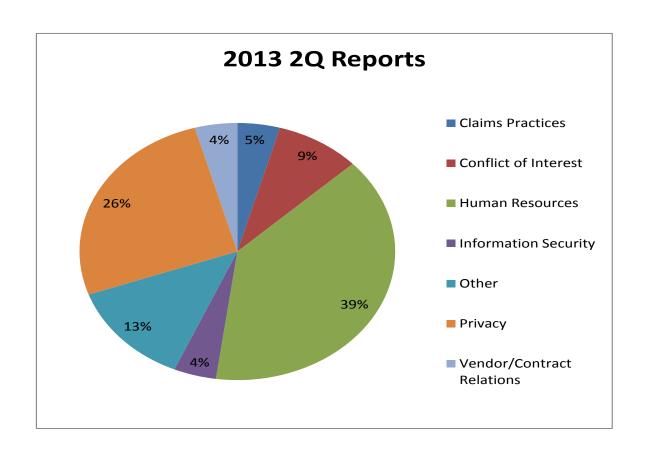
Investigation Status	Total
Investigation Completed - Allegation not Substantiated	9
Investigation Completed and Substantiated. Action Taken.	7
Investigation Completed Pending Action	4
Investigation In Process	97
Grand Total	117

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





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.

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.



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	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



4/0040	5.	Privacy or Data	
4/2013	Privacy	Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Tilvacy	Privacy or Data	investigation in riocess
4/2013	Privacy	Security Breach	Investigation In Process
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4/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
4/2013	Privacy	Security Breach	Investigation In Process
4/2013	Drivoov	Privacy or Data Security Breach	Investigation In Process
4/2013	Privacy	· ·	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
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4/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
4/2013	Privacy	Security Breach	Investigation In Process
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4/2013	Privacy	Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
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4/2013	Privacy	Security Breach	Investigation In Process
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4/2013	Privacy	Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
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4/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
4/2013	Privacy	Security Breach	Investigation In Process
4/0040	Deliver	Privacy or Data	Investigation Completed
4/2013	Privacy	Security Breach	Pending Action
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
1,2010	Tivacy	Privacy or Data	Investigation Completed and
4/2013	Privacy	Security Breach	Substantiated. Action Taken.
	·	Privacy or Data	
4/2013	Privacy	Security Breach	Investigation In Process



4/0040	Drives	Privacy or Data	Investigation In Deces
4/2013	Privacy	Security Breach	Investigation In Process
4/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
4/2013	Tilvacy	Privacy or Data	investigation in Freezes
4/2013	Privacy	Security Breach	Investigation In Process
	· ······	Privacy or Data	
4/2013	Privacy	Security Breach	Investigation In Process
	Management	Privacy or Data	_
4/2013	Referral	Security Breach	Investigation In Process
			Investigation Completed -
5/2013	Ethics Hotline	Policy Practices	Allegation not Substantiated
		Privacy or Data	
5/2013	Privacy	Security Breach	Investigation In Process
E/2012	Drivoov	Privacy or Data	Investigation In Process
5/2013	Privacy	Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
3/2013	Tilvacy	Privacy or Data	Investigation Completed -
5/2013	Ethics Hotline	Security Breach	Allegation not Substantiated
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5/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
5/2013	Privacy	Security Breach	Investigation In Process
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5/2013	Privacy	Security Breach	Investigation In Process
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5/2013	Privacy	Security Breach	Investigation In Process
5/2013	Drivoov	Privacy or Data	Investigation In Process
5/2013	Privacy	Security Breach	Investigation In Process
5/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
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5/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
5/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	Investigation Completed
5/2013	Privacy	Security Breach	Pending Action
E/2042	Drives	Privacy or Data	Investigation In Deces
5/2013	Privacy	Security Breach	Investigation In Process



		Privacy or Data	
5/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
5/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
5/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
5/2013	Privacy	Security Breach	Investigation In Process
			Investigation Completed and
5/2013	Ethics Hotline	Claims Practices	Substantiated. Action Taken.
		Human Resources -	
5/2013	Ethics Hotline	Time Theft	Investigation In Process
5/2013	Ethics Hotline	Discrimination	Investigation In Process
		Human Resources -	
		Misuse / Abuse of	Investigation Completed -
5/2013	Ethics Hotline	Time and Funds	Allegation not Substantiated
	Management	Privacy or Data	
5/2013	Referral	Security Breach	Investigation In Process
		Human Resources -	
	Management	Misuse of Benefits	
5/2013	Referral	(Tran Ben)	Investigation In Process
5/2013	Ethics Hotline	Physical Access	Investigation In Process
	Management	Human Resources -	
5/2013	Referral	Retaliation	Investigation In Process
	Management	Human Resources -	
5/2013	Referral	Retaliation	Investigation In Process
		Human Resources -	
		Misconduct, Inappropriate	
		and/or Offensive	
5/2013	Ethics Hotline	Behavior	Investigation In Process
0,2010		20.1001.01	Investigation Completed -
6/2013	Ethics Hotline	Vendor Fraud	Allegation not Substantiated
0,20.0		Human Resources -	7 mogamon not o dizota mato d
6/2013	Ethics Hotline	Favoritism	Investigation In Process
6/2013	Ethics Hotline	Claims Practices	Investigation In Process
6/2013	Ethics Hotline	Policy Practices	Investigation In Process
		Privacy or Data	
6/2013	Privacy	Security Breach	Investigation In Process
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6/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
6/2013	Privacy	Security Breach	Investigation In Process
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6/2013	Drivoov	Privacy or Data	Investigation In Process
6/2013	Privacy	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
0/2010	Tilvaoy	Human Resources -	investigation in recess
		Misconduct,	
		Inappropriate	
0/0040	Management	and/or Offensive	
6/2013	Referral	Behavior	Investigation In Process
0/0040	Duite	Privacy or Data	Investigation In Drasses
6/2013	Privacy	Security Breach	Investigation In Process
6/2013	Drivoov	Privacy or Data	Investigation In Process
0/2013	Privacy	Security Breach	Investigation In Process
6/2013	Privacy	Privacy or Data Security Breach	Investigation In Process
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6/2013	Privacy	Security Breach	Investigation In Process
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6/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	9
6/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
6/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
6/2013	Privacy	Security Breach	Investigation In Process
		Privacy or Data	
6/2013	Privacy	Security Breach	Investigation In Process
		Human Resources - Misconduct,	
		Inappropriate	
		and/or Offensive	
6/2013	Ethics Hotline	Behavior	Investigation In Process
		Privacy or Data	
6/2013	Privacy	Security Breach	Investigation In Process
		Human Resources -	
		Misconduct, Inappropriate	
	Management	and/or Offensive	
6/2013	Referral	Behavior	Investigation In Process
		Human Resources -	
	Management	Misuse of State	Investigation Completed -
6/2013	Referral	Fund's Systems	Allegation not Substantiated



2013 2nd Quarter Whistleblower Hotline Report Summary

0/0040	E		Investigation Completed -
6/2013	Ethics Hotline	Conflict of interest	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.