

ANTHROPIC

RSP Noncompliance Reporting and Anti-Retaliation Policy

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Purpose

Anthropic is committed to complying with our Responsible Scaling Policy ("RSP"). This policy establishes a mechanism for reporting potential RSP noncompliance and protects individuals who make good-faith reports from retaliation.

Scope

Below is the process by which employees may report concerns about RSP noncompliance and what they can expect during the process. The Company will not tolerate harassment, retaliation, or reprisals of any kind against any employee who has, in good faith, protested or raised a concern regarding a company policy or practice that does not comply with the RSP or reported a reasonable suspicion that someone connected with Anthropic has engaged in conduct that does not comply with the RSP.

While this policy is specifically written for Anthropic employees and Board members, we expect members of our extended workforce (including, but not limited to, vendors and independent contractors) and others who may be temporarily assigned to perform work or services for Anthropic to be apprised of the RSP. To this end, we encourage such individuals to report concerns regarding RSP noncompliance. Anthropic will take seriously all conversations, calls, and reports made in good faith under this policy.

Roles and Responsibilities

The successful implementation of this policy requires collaboration and commitment from various roles across the organization. These are the unique responsibilities beyond our standard requirements for ensuring success of this policy.

Role	Responsibilities
Responsible Scaling Officer	- Receive and investigate reports of RSP noncompliance - Maintain confidentiality of reports and reporters



Purpose

Anthropic is committed to complying with our Responsible Scaling Policy ("RSP"). This policy provides guidance on how to ask questions, raise concerns, and report potential violations of the RSP. This policy also restates Anthropic's policy against retaliation, defines prohibited retaliatory actions and discusses the procedures for reporting any alleged retaliation.

Anthropic is committed to making it as easy and safe as possible to raise questions and concerns about RSP compliance, and to ensuring that every report receives rigorous follow-up. To that end, this policy has been updated to offer lower-friction reporting options and to expand the range of senior leaders to whom reports may be directed.

Scope

Below is the process by which employees may report concerns about RSP noncompliance and what they can expect during the process. The Company will not tolerate harassment, retaliation, or reprisals of any kind against any employee who has, in good faith, protested or raised a concern regarding a company policy or practice that does not comply with the RSP or reported a reasonable suspicion that someone connected with Anthropic has engaged in conduct that does not comply with the RSP. This policy sets out the process by which employees may report concerns about RSP noncompliance. Anthropic also maintains a broader Safety & Compliance Reporting and Non Retaliation Policy that covers reporting potential violations of law, company policies or standards. This policy can be referenced [here](#).

While this policy is specifically written for Anthropic employees and Board members, we expect members of our extended workforce (including, but not limited to, vendors and independent contractors) and others who may be temporarily assigned to perform work or services for Anthropic to be apprised of the RSP. To this end, we encourage such individuals to report concerns regarding RSP noncompliance. Anthropic will take seriously all conversations, calls, and reports made in good faith under this policy.

Role	Responsibilities
	Ensure timely Board reporting of noncompliance reports as required by RSP
Managers	- Create an environment where Anthropic personnel feel safe to report concerns - Never engage in or tolerate retaliation against reporters
Employees and Contingent Workers	- Report suspected RSP noncompliance through appropriate channels - Provide detailed information when submitting concerns
Legal Team	- Support policy interpretation and implementation - Assist in policy compliance monitoring
People Team	- Support managers and employees in understanding this policy - Handle reports of retaliation related to RSP noncompliance reporting - Coordinate with the RSO on related employee matters - Maintain confidentiality of sensitive information

What Can be Reported

This policy and process applies to employees who raise good-faith concerns relating to RSP noncompliance only. This policy is not intended to address every concern that may arise in the workplace. Employees should be aware that Anthropic has other policies and procedures and available channels of communication for reporting certain concerns that may not be covered by this policy and/or that may be more appropriate mechanisms for addressing such concerns, including those mandated by Anthropic's anti-discrimination and harassment policies, or policies for suspected fraud or violation of regulations. When appropriate or legally required, some issues initially received through the RSP policy reporting mechanism may be investigated and remedied in a manner that is more consistent with the specific procedure applicable to that policy. If you are not clear about which channel to use, please check-in with your manager or HRBP. Please also note that confidentiality and anonymity can only be guaranteed for RSP noncompliance concerns shared within the Navex reporting tool.

Options for Informal Outreach & Formal Reporting

We provide multiple channels for reporting concerns about RSP noncompliance, asking questions, or seeking guidance.

Informal Outreach

If you have questions or concerns about potential RSP noncompliance—even if you're not yet sure whether a formal report is warranted—you are always welcome to reach out informally to the RSO, or any of the senior leaders listed below. Informal conversations of this kind are encouraged and valued. However, an informal conversation does not constitute a "report" under this policy—and therefore does not trigger the investigative steps described below—unless and until either (a) you submit a report through one of the channels described below, or (b) the senior leader you contacted confirms to you that they have submitted a report on your behalf.

Submitting a Formal Report

To submit a formal report of potential RSP noncompliance, you have two options at present:

- Email (simplest): Send an email to [redacted] with the subject line "RSP Report." This submits your concern directly to the Integrity & Compliance team, which will bring in the RSO or the senior leader you designate. If your concern relates to the RSO, another senior leader will be designated as the recipient of your report.
- Safety & Compliance Reporting Hotline (if anonymity is important to you): You may report confidentially or anonymously through our Safety & Compliance Reporting Hotline, powered by [redacted], via [redacted]. [redacted] is an independent third-party platform that provides a fully anonymous reporting option.

Who investigates?

- By default, reports go to the RSO and are investigated with assistance from the Integrity & Compliance team.



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Procedure for Submitting Confidential Anonymous Complaints

Reporting Channels

Employees may submit concerns and information regarding RSP noncompliance to the Responsible Scaling Officer (“RSO”) (or delegate) via [REDACTED]. Our Safety & Compliance Report Hotline is powered by Navex EthicsPoint, our trusted third-party partner. Access via:

- Web Intake Site: [REDACTED]
- Mobile Intake Site: [REDACTED]
- Call toll-free: [REDACTED] (United States)
 - Belgium: [REDACTED]
 - Canada: [REDACTED]
 - France: [REDACTED]
 - Ireland: [REDACTED]
 - Japan: [REDACTED]
 - Korea, Republic of South: [REDACTED]
 - Netherlands: [REDACTED]
 - Switzerland: [REDACTED]
 - United Kingdom: [REDACTED]
 - United States: [REDACTED]

If a concern relates to conduct by the RSO, the report will be sent instead to the President for review.

Confidentiality Protections

The reporting system is designed to protect reporter confidentiality. Anthropic cannot unmask the identity of any **reporter**. The system allows anonymous



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If your concern is related to the RSO's conduct, or you would otherwise prefer your report to go another member of senior leadership, you may specify in your report that it should go to any of the following leaders: [REDACTED]

Note: A Slack workflow to create further options for formal reports—and make it easier to transition from informal outreach to a report—is in the works and will be added to this policy ASAP.

Roles and Responsibilities

The successful implementation of this policy requires collaboration and commitment from various roles across the organization. These are the unique responsibilities beyond our standard requirements for ensuring success of this policy.

Role	Responsibilities
Responsible Scaling Officer	• Receive and investigate reports of RSP noncompliance • Maintain confidentiality of reports and reporters • Ensure timely Board reporting of non-compliance reports as required by RSP
Managers	• Create an environment where Anthropic personnel feel safe to report concerns • Immediately escalate concerns or reports of RSP non-compliance and reports of retaliation • Never engage in or tolerate retaliation against reporters
Employees and Contingent Workers	• Report suspected RSP noncompliance through appropriate channels • Provide detailed information when submitting concerns
Integrity & Compliance Team	• Manage the Safety & Compliance Reporting Hotline • Triage and track incoming reports to resolution and closure • Support policy interpretation and implementation • Carry out periodic testing of the Hotline to ensure it is operating as intended

correspondence with the RSO (or delegate) about reports throughout the investigation.

Report Content & Documentation

When submitting a **concern**, employees should provide as much detailed information as possible, including background, history, names, dates, places, and the specific RSP violation suspected. While comprehensive information aids investigation, sensitive code or protected technical details should not be included in reports.

All conversations, calls, and reports made in good faith under this policy will be taken seriously. Since the system is designed to protect the identities of employees, the integrity of this system depends on employees following this policy in good faith and not filing reports that are intentionally false or those they know do not involve conduct related to noncompliance with the RSP.

Investigation Process

The RSP Operations Lead or Legal Counsel will act as **Navex** Case Manager to initiate the review and response process for any noncompliance reports, gathering relevant background information if needed before referring them to the RSO (or **President**, as applicable) for review and dispositioning. The RSO (or the **President**, as applicable) will determine appropriate initial inquiries to decide whether an investigation is necessary and, if so, its form and scope. An investigation does not suggest that the concerns have been confirmed or rejected. The nature and severity of the concern will determine the **RSO's** actions during any investigation.

Case Management & Reporting

All case reports submitted through the **XXXXXX** are maintained on a secure third-party reporting platform, accessible only to the **Navex** Case Manager, **RSO**, **President** (if applicable), and any authorized **delegates**. The RSO cannot access reporter identity unless the reporter chooses to attach their name to the report.

Role	Responsibilities
	- Assist in policy compliance monitoring - Provide reporting to leadership on concerns raised under this policy
Legal Team	- Advise on policy interpretation and implementation - Provide legal advice on reporting and case management
People Team	- Support managers and employees in understanding this policy - Handle reports of retaliation related to RSP noncompliance reporting - Coordinate with the RSO on related employee matters - Maintain confidentiality of sensitive information

What Can be Reported

This policy and process applies to employees who raise good-faith concerns relating to RSP noncompliance only. This policy is not intended to address every concern that may arise in the workplace. Employees should be aware that Anthropic has other policies and procedures and available channels of communication for reporting certain concerns that may not be covered by this policy and/or that may be more appropriate mechanisms for addressing such concerns, including those mandated by Anthropic's anti-discrimination and harassment policies, or policies for suspected fraud or violation of regulations. When appropriate or legally required, some issues initially received through the RSP policy reporting mechanism may be investigated and remedied in a manner that is more consistent with the specific procedure applicable to that policy. If you are not clear about which channel to use, please check-in with your manager or **People Partner**. Please also note that **reporter** confidentiality and anonymity can only be guaranteed for RSP noncompliance concerns shared within the **XXXXXX** reporting tool.

Confidentiality Protections

The reporting system is designed to protect reporter confidentiality. **Reports will be kept as confidential as possible while still allowing us to investigate and respond**



The RSO provides periodic updates to the board regarding all RSP noncompliance cases and developments.

Anti-Retaliation Policy

Anthropic encourages employees to come forward with concerns and will not tolerate retaliation or harassment against employees who raise a good-faith concern under this policy. Employees who believe that they have been subjected to any conduct that violates the non-retaliation policy should reach out to their manager or HRBP. Any employee who retaliates against another employee as a result of raising a concern under this policy may be subject to corrective action including termination of employment.

External Reporting

While we encourage internal reporting and we hope you'll come to us first, nothing in this policy or any other Anthropic agreement or policy prohibits you from reporting potential violations of law to appropriate government authorities without Anthropic's authorization and without retaliation.

When reporting concerns externally, employees should make every effort to avoid unnecessarily disclosing confidential information. Focus on communicating the nature of the concern without publicly revealing specific technical details, HIPI trade secrets, or proprietary information.

Our No Retaliation Policy

Anthropic prohibits retaliation against those who, in good faith, engage in a protected activity.

A "good faith" report means that you have a reasonable belief that your allegation could be true and the report is not being made with malicious intent. It does not mean that you must know with certainty that an allegation is true.

What is a Protected Activity?



appropriately. Anthropic cannot unmask the identity of any reporter who reports a concern anonymously via [REDACTED]. The system allows anonymous correspondence with the RSO (or delegate) about reports throughout the investigation.

Report Content & Documentation

When submitting a report, employees should provide as much detailed information as possible, including background, history, names, dates, places, and the specific RSP violation suspected. While comprehensive information aids investigation, sensitive code or protected technical details should not be included in reports.

All conversations, calls, and reports made in good faith under this policy will be taken seriously. Since the system is designed to protect the identities of employees, the integrity of this system depends on employees following this policy in good faith and not filing reports that are intentionally false or those they know do not involve conduct related to noncompliance with the RSP.

Investigation Process

When we receive a report, we will promptly investigate, take appropriate and proportional corrective action if the report is substantiated, and document the report and our findings. Integrity & Compliance will act as [REDACTED] Case Manager to initiate the review and response process for any noncompliance reports, gathering relevant background information if needed before referring them to the RSO (or one of the senior leaders designated above, as applicable) for investigation. The nature and severity of the concern will determine the scope of the investigation and any investigative steps.

Case Management & Reporting

All case reports submitted through [REDACTED] are maintained on a secure third-party reporting platform, accessible only to the [REDACTED] Case Manager and any authorized delegates, who will refer them to the RSO (or one of the other senior leaders designated above) for further action. The RSO cannot access reporter identity unless the reporter chooses to attach their name to the report.



A protected activity is any action taken that is protected by law against retaliation. Protected activities include, but are not limited to:

- Reporting or raising concerns in good faith through internal channels about known or suspected violations of the RSP
- Participating in an internal investigation
- Refusing to engage in activities you reasonably believe to be in violation of the RSP
- Acting as a whistleblower by reporting concerns in good faith to statutorily authorized government authorities or regulatory agencies

What is Retaliation?

Retaliation is any adverse action taken against an employee because they reported a problem, refused to engage in unlawful activity, or participated in an investigation. Retaliation is not always obvious. It can include:

- Job loss, pay cuts or reduced hours
- Denying overtime, promotion, or benefits
- Limiting career growth (e.g. keeping you out of important meetings or reassigning projects)
- Disciplinary actions
- Failing to hire, or telling other prospective employers not to hire you
- Intimidation or making threats
- More subtle actions, such as isolating, ostracizing, mocking, or falsely accusing you of poor performance
- Hindering any earned benefits

Compliance

Anthropic will measure and verify compliance to this policy through various methods, including but not limited to ongoing monitoring, and both internal and external reviews.



We will provide quarterly updates to the Board of Directors regarding reports of potential noncompliance, whether substantiated or not. If we determine that a report is (1) substantiated and (2) involves a material safety risk, we will promptly notify the Board of Directors, and we may provide public notice of the same.

Anti-Retaliation Policy

Anthropic encourages employees to come forward with concerns and will not tolerate retaliation or harassment against employees who raise a good-faith concern under this policy. Employees who believe that they have been subjected to any conduct that violates the non-retaliation policy should reach out to their manager or People Partner. Any employee who retaliates against another employee as a result of raising a concern under this policy may be subject to corrective action including termination of employment.

External Reporting

While we encourage internal reporting, and we hope you'll come to us first, nothing in this policy or any other Anthropic agreement or policy prohibits you from reporting potential violations of law to appropriate government authorities without Anthropic's authorization and without retaliation.

When reporting concerns externally, employees should make every effort to avoid unnecessarily disclosing confidential information. Focus on communicating the nature of the concern without publicly revealing specific technical details, HIPI trade secrets, or proprietary information.

Our No Retaliation Policy

Anthropic prohibits retaliation against those who, in good faith, engage in a protected activity.

A "good faith" report means that you have a reasonable belief that your allegation could be true and the report is not being made with malicious intent. It does not mean that you must know with certainty that an allegation is true.



Exceptions

Requests for an exception to this policy must be submitted via the [REDACTED] for approval.

Violations & Enforcement

Any known violations of this policy should be reported to the Policy Owner, Executive Sponsor, or other appropriate members of Anthropic's Senior Leadership through the appropriate [REDACTED]. Violations can result in immediate withdrawal or suspension of system and network privileges and/or disciplinary action in accordance with company procedures including termination of employment.



What is a Protected Activity?

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Compliance

Anthropic will measure and verify compliance to this policy through various methods, including but not limited to ongoing monitoring, and both internal and external reviews.



Exceptions

Requests for an exception to this policy must be submitted via the [Policy Exception Form](#) for approval.

Violations & Enforcement

Any known violations of this policy should be reported to the Policy Owner, Executive Sponsor, or other appropriate members of Anthropic's Senior Leadership through the appropriate [reporting channels](#). Violations can result in immediate withdrawal or suspension of system and network privileges and/or disciplinary action in accordance with company procedures including termination of employment.

Change Log

Date	Description of Updates
February 2026	Updated to expand reporting channels, introduce a pathway for employees to make informal inquiries about potential RSP violations, and align with RSP Version 3.0.