

Question Title	Available options	Zhipu AI	xAI	OpenAI
<i>Does your company have a WB policy & function covering frontier AI-focused staff? Is this policy publicly accessible without login credentials?</i>	<ul style="list-style-type: none">• Prefer not to answer (skips whistleblowing section)• No WB policy & function - (skips whistleblowing section)• Non-public policy exists - Please briefly explain your rationale for keeping it private:	Prefer not to answer (skips whistleblowing section)	<ul style="list-style-type: none">• Non-public policy exists - Please briefly explain your rationale for keeping it private:• Only applies to xAI employees	Public WB policy - Please provide URL here: https://openai.com/index/openai-raising-concerns-policy/ https://cdn.openai.com/policies/raising-concerns-policy-blog-copy-202410.pdf
<i>Who is formally designated with primary responsibility for overseeing the whistleblowing function and ensuring reports are properly addressed?</i>	<ul style="list-style-type: none">• Board/Audit Committee• Executive management• Compliance/Legal department• HR department• Other (Please also specify whom this role reports to):		HR department	Board/Audit Committee, Compliance/Legal department, HR department HR, board/audit as well
<i>Which statement best describes the investigative independence of your whistleblowing function?</i>	<ul style="list-style-type: none">• The whistleblowing function requires approval from management before initiating investigations based on whistleblower reports.• The whistleblowing function can independently initiate and conduct investigations based on whistleblower reports, including those involving senior management.• The whistleblowing function can independently initiate and conduct investigations based on whistleblower reports, including those involving senior management, AND has the authority to engage external expertise without approval.		The whistleblowing function requires approval from management before initiating investigations based on whistleblower reports.	The whistleblowing function can independently initiate and conduct investigations based on whistleblower reports, including those involving senior management, AND has the authority to engage external expertise without approval.
<i>Which of the following concerns are explicitly covered by your whistleblowing policy? (Select all that apply)</i>	<ul style="list-style-type: none">• Violations of applicable laws and regulations Violations of the company's public AI safety framework (e.g., Anthropic's Responsible Scaling Policy)• Credible safety concerns that may not violate specific policies including loss-of-control scenarios• Pressure to compromise safety standards or suppress safety concerns• Misleading communications about AI capabilities to external parties (such as regulators, the public, or evaluators) or discrepancies between public claims and internal practices• None of the above		Violations of applicable laws and regulations,Credible safety concerns that may not violate specific policies including loss-of-control scenarios,Pressure to compromise safety standards or suppress safety concerns,Misleading communications about AI capabilities to external parties (such as regulators, the public, or evaluators) or discrepancies between public claims and internal practices	Violations of applicable laws and regulations,Violations of the company's public AI safety framework (e.g., Anthropic's Responsible Scaling Policy),Credible safety concerns that may not violate specific policies including loss-of-control scenarios,Pressure to compromise safety standards or suppress safety concerns
<i>Does your whistleblowing policy explicitly protect individuals who report concerns in 'good faith' or with 'reasonable cause to believe', rather than requiring certainty that violations occurred?</i>	<ul style="list-style-type: none">• Yes• No		Yes	Yes
<i>Which of the following persons are protected from retaliation under your whistleblowing policy? (Select all that apply)</i>	<ul style="list-style-type: none">• Current employees• Former employees• Contractors and self-employed workers• AI research collaborators and academic partners• Individuals who assist whistleblowers• Suppliers and vendors with access to company systems		Current employees	Current employees,Contractors and self-employed workers
<i>To which of the following individuals or entities can whistleblowers submit reports according to your policy? (Select all that apply)</i>	<ul style="list-style-type: none">• Board member or board committee• Dedicated Ethics/Whistleblowing Officer• Ombudsperson• Chief Compliance or Risk Officer• General Counsel/Legal Department• Human Resources department• External/independent third party• Direct disclosure to a statutory or supervisory authority• Other (please briefly specify):		Human Resources department,Direct disclosure to a statutory or supervisory authority	Board member or board committee,Chief Compliance or Risk Officer,General Counsel/ Legal Department,Human Resources department,External/ independent third party,Direct disclosure to a statutory or supervisory authority
<i>For former employees and contractors, indicate any policy limitations compared with current employees. (Select all limitations that apply)</i>	<ul style="list-style-type: none">• Limited Reporting Channels (Former employees Contractors)• Limited Reportable Issues (Former employees Contractors)• Limited Retaliation Protection (Former employees Contractors)• No Limitations (Former employees Contractors)	<ul style="list-style-type: none">• Limited Reporting Channels ()• Limited Reportable Issues ()• Limited Retaliation Protection ()• No Limitations ()	<ul style="list-style-type: none">• Limited Reporting Channels (Former employees Contractors)• Limited Reportable Issues ()• Limited Retaliation Protection (Former employees Contractors)• No Limitations ()	<ul style="list-style-type: none">• Limited Reporting Channels (Contractors: Some channels, such as speaking to your current HR representative, are inherently available only to current employees.)• Limited Reportable Issues ()• Limited Retaliation Protection ()• No Limitations ()
<i>Which of the following best describes the anonymity and confidentiality provisions in your whistleblowing policy? (Select the one that fits best)</i>	<ul style="list-style-type: none">• Our policy does not provide for anonymous reporting• Our policy allows anonymous reporting but does not specify technical measures to protect reporter identity• Our policy allows anonymous reporting with specific technical measures in place to protect reporter identity (e.g., anonymous hotline, encrypted system)• Our policy allows anonymous reporting with technical protections AND includes confidentiality commitments for non-anonymous reports		Our policy does not provide for anonymous reporting	Our policy allows anonymous reporting with technical protections AND includes confidentiality commitments for non-anonymous reports
<i>If "Limited", under which circumstances is external disclosure protected?</i>	<ul style="list-style-type: none">• Imminent risk of serious harm• Management or board implicated• Reasonable fear of retaliation• Internal investigation deadlines missed• Unconditional reporting to a competent regulatory authority• After internal reporting has been attempted• Other (specify):		<ul style="list-style-type: none">• Imminent risk of serious harm,Other (specify):• Reasonable fear of physical harm	
<i>Which mechanisms ensure that your whistleblowing function has access to adequate (technical) expertise to investigate reports? (Select all that apply)</i>	<ul style="list-style-type: none">• Dedicated AI experts within the whistleblowing function itself• Authority to consult internal AI experts under confidentiality safeguards, including procedures that shield case details where necessary• Standing agreements with external independent AI ethics/ safety consultants• Budget authority to engage external AI experts without requiring management approval• None of the above• Other (please specify):		None of the above	Authority to consult internal AI experts under confidentiality safeguards, including procedures that shield case details where necessary
<i>Investigation timelines and escalation rights: Which best describes your policy's commitments? (Select one)</i>	<ul style="list-style-type: none">• None – no specific timelines for acknowledgment, updates, or resolution• Basic – acknowledge receipt ≤ 7 days only• Standard – acknowledge ≤ 7 days and provide updates ≤ 30 days• Full – acknowledge ≤ 7 days, updates ≤ 30 days, final outcome ≤ 90 days• Full + internal escalation – all Full timeframes plus whistleblowers may escalate to board/leadership if deadlines are missed• Full + comprehensive escalation – all Full timeframes plus whistleblowers may escalate both internally AND to regulators/external parties if deadlines are missed		None – no specific timelines for acknowledgment, updates, or resolution	None – no specific timelines for acknowledgment, updates, or resolution
<i>Which specific forms of retaliation are explicitly prohibited in your policy? (Check all that apply)</i>	<ul style="list-style-type: none">• Termination/Dismissal• Demotion, or negative performance reviews• Reduction in compensation or benefits• Exclusion from meetings or information• Harassment or creating a hostile work environment• Blacklisting within the industry• Legal action against the whistleblower• None of the above		Termination/Dismissal,Demotion, or negative performance reviews,Reduction in compensation or benefits,Blacklisting within the industry,Legal action against the whistleblower	Termination/Dismissal,Demotion, or negative performance reviews,Reduction in compensation or benefits,Exclusion from meetings or information,Harassment or creating a hostile work environment,Blacklisting within the industry,Legal action against the whistleblower Our policy forbids retaliation. Notwithstanding the way this question is worded, it is well established under relevant law that retaliation can include termination or dismissal, demotion or negative performance reviews, or reduction in compensation or benefits. These are all covered under our policy's prohibition of retaliation. Our policy also expressly addresses harassment.
<i>Do any employment-, separation-, or settlement-related agreements used by your company contain non-disparagement or confidentiality clauses that could deter current or former employees from disclosing AI safety or risk-related concerns? (Select one)</i>	<ul style="list-style-type: none">• No - we do not include such restrictions in our agreements Yes, but clauses only limit public disclosure; internal or regulator disclosures are explicitly unrestricted.• Yes, but not enforced – clauses exist, but the company has a written policy never to enforce (or threaten to enforce) them against AI safety or risk-related disclosures (no withholding of pay/equity and no legal action).• Yes, enforced - our standard confidentiality and non-disparagement provisions may restrict raising AI safety or risk-related concerns		No - we do not include such restrictions in our agreements	Yes, but clauses only limit public disclosure; internal or regulator disclosures are explicitly unrestricted. We have confidentiality clauses that could impact some forms of public disclosure, but these have carveouts for internal or regulator disclosures. We do not have non-disparagement clauses in any such agreements, except in specific cases where an employee or former employee has entered a mutual non-disparagement agreement with the company.
<i>Which anti-retaliation provisions are explicitly detailed in your whistleblowing policy? (Select all that apply)</i>	<ul style="list-style-type: none">• Defined disciplinary consequences for individuals who retaliate against whistleblowers (e.g., termination, demotion, or other concrete penalties - not just general statements prohibiting retaliation)• Documented investigation procedure for retaliation claims (including designated investigators, timelines, evidence standards, and appeal rights)• Concrete remedial measures for whistleblowers who experience retaliation (e.g., compensation, reinstatement, transfer options, or other specific remedies - not just general commitments to address retaliation)• None of the above are specifically detailed		None of the above are specifically detailed	Defined disciplinary consequences for individuals who retaliate against whistleblowers (e.g., termination, demotion, or other concrete penalties - not just general statements prohibiting retaliation)