

# ITRC Corporate Policies

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## PROMOTION OF ETHICAL CONDUCT

As a nonprofit organization at the forefront of identity theft issues, ITRC's policy is to uphold the highest legal, ethical, and moral standards. Our donors and volunteers support ITRC because they trust us to be good stewards of their resources, and to uphold rigorous standards of conduct. Our reputation for integrity and excellence requires the careful observance of all applicable laws and regulations, as well as a scrupulous regard for the highest standards of conduct and personal integrity.

ITRC will comply with all applicable state and federal laws and regulations and expects its directors, officers, and employees to conduct business in accordance with the letter and spirit of all relevant laws; to refrain from any illegal, dishonest, or unethical conduct; to act in a professional, businesslike manner; and to treat others with respect. Directors and officers should not use their positions to obtain unreasonable or excessive services or expertise from ITRC's staff.

In general, the use of good judgment based on high ethical principles will guide directors, officers, and employees with respect to lines of acceptable conduct. However, if a situation arises where it is difficult to determine the proper course of conduct, or where questions arise concerning the propriety of certain conduct by an individual or others, the matter should be brought to the attention of ITRC management. Employees should contact their immediate supervisor and, if necessary, the Chief Executive Officer or Director of Operations. Board members should raise any such concerns with the Chair or Secretary of ITRC's board.

In all questions involving ethics and conduct, the board will make relevant determinations, except that any individual whose conduct is at issue will not participate in such decisions.

All officers, key staff members, and members of the board of ITRC are required and expected to exercise the highest ethical standards of conduct and practice fundamental honesty at all times.

In support of ITRC's standards of high ethical conduct, each officer, key staff member, and board member WILL NOT:

- Deceive, defraud, or mislead ITRC board members, officers, staff members, managers, supervisors, or other associates, or those with whom ITRC has business or other relationships.
- Misrepresent ITRC in any negotiations, dealings, contracts, or agreements.
- Divulge or release any information of a proprietary nature relating to Identity Theft Resource Center's plans, mission, or operational databases without appropriate approval.
- Obtain a personal advantage or benefit due to relationships established by any officer, senior staff member, or board member by use of the organization's name.
- Accept individual gifts of any kind in excess of \$100, in connection with the officer's, a key staff member's, or board member's relationship with ITRC. All such gifts are to be reported to the Director of Operations who shall divulge gifts received during the calendar year to the board of Directors.
- Engage in unethical business practices of any type.
- Use ITRC property, financial resources, or services of ITRC personnel for personal benefit.
- Violate any applicable laws or ordinances

## CONFLICT OF INTEREST / DUALITY OF INTEREST POLICY

### Article I: Purpose

ITRC strives to maintain the highest ethical standards in all policies, procedures, and programs and to avoid any conflicts of interest (see ITRC Policy for the Promotion of Ethical Conduct).

### Article II: Definitions

1. Interested Person: Any trustee, officer, member of a committee with board-delegated powers, or employee who has a direct or indirect financial interest (as defined in Section 2) or duality of interest (as defined in Section 3), is an interested person.
2. Financial Interest: If a member of the governing body or any committee thereof has a financial interest conflicting with the interest of the ITRC in any manner (such as whether to enter into a contract with such individual or with an organization with which such individual is associated), then the individual must bring the conflict to the attention of the other members and refrain from deliberating or voting in any decision with respect to the matter. A person has a financial interest if the person has an interest, directly or indirectly, through business, investment, or family in:
  - a. An ownership or investment interest in any entity with which the ITRC has a transaction or arrangement, or
  - b. A compensation arrangement with the ITRC or with any entity or individual with which the ITRC has a transaction or arrangement, or
  - c. A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the ITRC is negotiating a transaction or arrangement.
3. Compensation: Includes direct and indirect remuneration as well as gifts or favors that are substantial in nature. A financial interest is not necessarily a conflict of interest. Under Article III, Section 2, a person who has a financial interest may have a conflict of interest only if the appropriate board or committee decides that a conflict of interest exists.
4. Duality of Interest: A duality of interest exists when a trustee, officer, committee member, or employee of the ITRC is affiliated with an organization seeking to request a grant or services from the ITRC. Such affiliation exists if the person is a director, trustee, officer, or employee of the organization, or has an unofficial role such as significant donor, volunteer, advocate, or advisor.

### Article III: Procedures

1. Duty to Disclose: In connection with any actual or possible conflict of interest or duality of interest, an interested person must disclose the existence of his or her financial interest or affiliation and all material facts to the trustees and members of committees with board-delegated powers considering the proposed transaction or arrangement. The disclosure should be made either when the interest becomes a matter of board or committee action or as part of a periodic procedure to be established by the board.
2. Determining Whether a Conflict of Interest Exists: After disclosure of the financial interest and all material facts, and after any discussion with the interested person, he or she shall leave the board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.
3. Procedures for Addressing the Interest:

- a. An interested person may make a presentation at the board or committee meeting, but after such presentation, he or she shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement which results in the conflict of interest or duality of interest.
  - b. The chair of the board or committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement. In the case of executive compensation for directors of the ITRC, see Article V – Compensation Committee (below).
  - c. After exercising due diligence, the board or committee shall determine whether the ITRC can obtain a more advantageous transaction or arrangement with reasonable efforts from a person or entity that would not give rise to a conflict of interest.
  - d. If a more advantageous transaction or arrangement is not reasonably attainable under circumstances that would not give rise to a conflict of interest, the board or committee shall determine by a majority vote of the disinterested trustees whether the transaction or arrangement is in the ITRC’s best interest and for its own benefit and whether the transaction is fair and reasonable to the ITRC and shall make its decision as to whether to enter into the transaction or arrangement in conformity with such determination.
4. Violations of the Policy:
- a. If the board or committee has reasonable cause to believe that a member has failed to disclose actual or possible conflicts of interests or duality of interest, it shall inform the member of the basis of such belief and afford the member an opportunity to explain the alleged failure to disclose.
  - b. If, after hearing the response of the member and making such further investigation as may be warranted in the circumstances, the board or committee determines that the member has in fact failed to disclose an actual or possible conflict of interest or duality of interest, it shall take appropriate disciplinary and corrective action.

#### Article IV: Records of Proceedings

The minutes of the board and all committees with board-delegated powers shall contain:

1. The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest or duality of interest, the nature of the financial interest, any action taken to determine whether a conflict of interest or duality of interest was present, and the board’s or committee’s decision as to whether a conflict of interest or duality of interest in fact existed.
2. The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection therewith.

#### Article V: Compensation Committee

A voting member of any board committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the ITRC for services is precluded from voting on matters pertaining to that member’s compensation, whether direct compensation or otherwise. For the case of determining compensation for the executive management of the ITRC, the ITRC Board of Directors shall appoint members to an Executive Committee to be chaired by the Chairman of the board of directors. The Executive Committee will advise the members of the board, less interested parties, on matters of ITRC management compensation. Interested members must be recused from decisions regarding executive management compensation.

#### Article VI: Statements of Compliance

Each board Member, board Officer, and ITRC Officer shall agree and affirm that such person:

1. Has received a copy of the conflict-of-interest policy,

2. Has read and understands the policy,
3. Has agreed to comply with the policy, and
4. Understands that the ITRC is a charitable nonprofit organization and that in order to maintain its federal tax exemption it must engage primarily in activities that accomplish one or more of its tax-exempt purposes.

## WHISTLEBLOWER PROTECTION

### Introduction:

The Statement of Values and Code of Ethics adopted by ITRC requires all staff, board members, and volunteers to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of ITRC, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations. Set forth below is ITRC's policy with respect to reporting good-faith concerns about the legality or propriety of ITRC actions or plans.

### Reporting of Concerns or Complaints:

It is the responsibility of all staff, board members, and volunteers to comply with ITRC's Code of Ethics and applicable law and to report violations or suspected violations in accordance with this Whistleblower Policy.

### Confidentiality:

ITRC will treat all communications under this policy in a confidential manner, except to the extent necessary 1) to conduct a complete and fair investigation, or 2) for review of ITRC operations by ITRC's board, its audit committee, ITRC's independent public accountants, and ITRC's legal counsel.

### Retaliation:

ITRC will not permit any negative or adverse actions to be taken against any employee or individual for making a good-faith report of a possible violation of its Code of Ethics or applicable law, even if the report is mistaken, or against any employee or individual who assists in the investigation of a reported violation. Retaliation in any form will not be tolerated. Any act of alleged retaliation should be reported immediately and will be promptly investigated. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within ITRC prior to seeking resolution outside the organization.

### How to Report Concerns or Complaints:

Employees and others may communicate suspected violations of its Code of Ethics, applicable law, or other wrongdoing or alleged retaliation by contacting ITRC's Chief Executive Director or Director of Operations. If you wish to remain anonymous, it is not necessary that you give your name or position in any notification. Whether or not you identify yourself, please provide ITRC with as much information as you can so the ITRC can perform a proper investigation. If possible, include where and when the incident occurred, names and titles of the individuals involved and as much other detail as you can provide.

### Illustrative Types of Concerns:

The following is a non-exhaustive list of the kinds of improprieties that should be reported:

- Supplying false or misleading information on ITRC's financial or other public documents, including its Form 990
- Providing false information to or withholding material information from ITRC's board or auditors
- Destroying, altering, mutilating, concealing, covering up, falsifying, or making a false entry in any records that may be connected to an official proceeding, in violation of federal or state law or regulations
- Altering, destroying, or concealing a document, or attempting to do so, with the intent to impair the document's availability for use in an official proceeding or otherwise obstructing,

influencing, or impeding any official proceeding, in violation of federal or state law or regulations

- Embezzling, self-dealing, private inurement (i.e., ITRC earnings inuring to the benefit of a director, officer, or senior management) and private benefit (i.e., ITRC assets being used by anyone in the organization for personal gain or benefit)
- Paying for services or goods that are not rendered or delivered
- Using remarks or actions of a sexual nature that are not welcome and are likely to be viewed as personally offensive, including sexual flirtations; unwelcome physical or verbal advances; sexual propositions; verbal abuse of a sexual nature; the display of sexually suggestive objects, cartoons, or pictures; and physical contact of a sexual or particularly personal nature.
- Using epithets, slurs, negative stereotyping, and threatening, intimidating, or hostile acts that relate to race, color, religion, gender, national origin, age, or disability
- Circulating or posting written or graphic material in the workplace that denigrates or shows hostility or aversion toward an individual or group because of race, color, religion, gender, nationality, age, or disability
- Discriminating against an employee or potential employee due to a person's race, color, religion, sex, sexual orientation, national origin, age, physical or mental impairment, or veteran status
- Violating ITRC's Statement of Values and Code of Ethics, Conflict-of-Interest Policy, Harassment Policy or Equal Employment Opportunity Policy
- Facilitating or concealing any of the above or similar actions

## DATA COLLECTION AND RETENTION

ITRC takes seriously its obligations to preserve information relating to litigation, audits, and investigations. The Sarbanes-Oxley Act makes it a crime to alter, cover up, falsify, or destroy any document to prevent its use in an official proceeding. Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against ITRC and its employees and possible disciplinary action against responsible individuals (up to and including termination of employment). Each employee has an obligation to contact the Chief Executive Officer or Chief Financial Officer regarding potential or actual litigation, external audits, investigations, or similar proceedings involving ITRC.

### **Data Collection**

The data collection policy of the ITRC shall be maintained on two levels:

#### Level 1:

This is data which is collected for the purposes of assisting general victims of identity theft. This shall consist of name, state of residence, phone number, e-mail address, and a narrative regarding the type of concern or identity theft matter the individual is experiencing. A street address may be collected for the purposes of mailing information to the individual to assist them with their case. This is also data that is collected for the purposes of studies or research. Upon completion of gathering of data for research, the personal identifying information shall be separated and maintained in a secure manner. Upon completion of this study or research, all data collected solely for the purpose of a study or research shall be destroyed. During the research phase, some individuals may request or agree to speak to the media. At this time they volunteer their information, which is entered, as appropriate, into Salesforce. ITRC does not release the victim's information to the media. It is the policy of the ITRC to provide the media contact information to the victim so the victim may initiate contact with the media directly.

#### Level 2:

Data in this category consists of Social Security numbers, dates of birth, driver's license numbers, financial account numbers, health insurance numbers, employee identification numbers, or any data determined to be of a more uniquely personal identifying nature. This data will never be collected or requested by the ITRC. If this data is supplied by victims it will not be retained (see data disposal section).

### **Data Storage:**

Level 1: ITRC will maintain Level 1 data in electronic form using Salesforce, a database program specially designed for enterprise business services. The Salesforce database used by ITRC is accessible only by ITRC staff, with permissions regulated strictly by individual login. Safeguards for the protection of electronic files include both hardware and software firewalls, use of SSL technology for all connections, verified IP for all connections, and discrete user tokens on each user machine, as well as user name and password protection. Level 1 information can include name, state of residence, phone number, and/or e-mail address, and in some cases city and street address. Other ITRC files, such as email, company business files, etc., are to be stored in electronic form on the ITRC file server, in an access controlled room, within the ITRC facility. They are protected by appropriate firewalls and intrusion detection. External access to the server is limited to secure VPN only.

Level 2: Data will not be stored.

### **Data Disposal:**

Because ITRC undertakes an advisory role with victims of identity theft, and because the nature of this crime may require years for mitigation, victims have the expectation that ITRC will retain for safekeeping and future access any case information that may be of use to the victim’s case in the future.

Level 1 Data: ITRC has the ability to store client files for safekeeping indefinitely in our Salesforce database. Data will be retained for a minimum period of three years and/or destroyed at the request of the client.

Level 2 Data: Level 2 data will never be stored. Should the ITRC receive Level 2 data via hardcopy (paper, CD, storage drive, etc), this information will be immediately shredded and/or otherwise destroyed. This action will be documented by two ITRC staff members, including one member of the executive team. A record of this destruction will be placed in the Salesforce case file. Should the ITRC receive Level 2 data electronically, the electronic document and/or data will be immediately deleted from all records. If Level 2 data is received via email, it will be disposed of as follows:

- The email address and name ONLY will be recorded in Salesforce along with a note as follows:
  - “Email was sent to [enter email address] that included PII. Email was deleted from my inbox [or applicable folder] and was deleted from my deleted items folder.”
- The email will be immediately deleted from the inbox and/or associated folder where it was received and will then be deleted from the “Deleted Items”/”Trash” area of the email program (currently Microsoft Outlook).
- A separate email will be sent to the individual with the following information, and asking how we may be of assistance:
  - “We recently received an email from you that contained sensitive personally identifiable information (PII) which may include your Social Security number, date of birth, driver’s license number, financial account number(s), health insurance number(s), employee identification number, or any data determined to be of a more uniquely personal identifying nature. Your email was deleted and no record of the email has been kept. We strongly recommend you also delete the email from your sent items in your email inbox and do NOT send PII via e-mail to ANY entity.”

Responsible Parties for disposition of data:  
Chief Executive Officer and/or Director of Operations

**Record Retention:**

The information listed in the Retention Schedule below is intended as a guideline and may not contain all the records ITRC may be required to keep in the future. Questions regarding the retention of documents not listed in this chart should be directed to the Chief Executive Officer. From time to time, the Chief Executive Officer may issue a notice, known as a “legal hold,” suspending the destruction of records due to pending, threatened, or otherwise reasonably foreseeable litigation, audits, government investigations, or similar proceedings. No records specified in any legal hold may be destroyed, even if the scheduled destruction date has passed, until the legal hold is withdrawn in writing by the Chief Executive Officer.

Information will be retained by the ITRC according to the following schedule on the following page:

File Category	Item	Retention Period
Corporate Records	Bylaws and Articles of Incorporation	Permanent

	Corporate Resolutions	Permanent
	Board and Committee Meeting Agendas and Minutes	Permanent
	Conflict of Interest Disclosures	4 Years
<b>Finance and Administration</b>	Financial Statements Audited	Permanent
	Auditor Management Letters	Permanent
	Payroll Records	Permanent
	Journal Entry	Permanent
	Check Register and Checks	7 Years
	Bank Deposits and Statements	7 Years
	Charitable Org Registrations	7 Years
	Chart of Accounts	7 Years
	Expense Reports	7 Years
	General Ledgers and Journals	7 Years
	Accounts Payable Ledger	7 Years
	Investment Reports	7 Years
	Equipment Files	5 Years
	Contracts and Agreements	7 Years from end of term
General Correspondence	3 Years	
<b>Insurance Records</b>	Policies - Occurrence Types	Permanent
	Policies - Claims Made	Permanent
	Accident Reports	7 Years
	Fire Inspection Records	7 Years
	Safety OSHA Reports	7 Years
	Claims after settlement	7 Years
	Group Disability Records	7 Years from end of benefit
<b>Real Estate</b>	Deeds	Permanent
	Leases Expired	7 Years from end of term
	Mortgages and Security	7 Years from end of term
	Purchase Agreements	7 Years after disposal req's.
<b>Tax</b>	IRS Exemption Determinations	Permanent
	IRS 990	Permanent
	Withholding Tax Statements	7 Years
	Accountant or Legal Correspondence	7 Years after filing.
	Time Cards	3 Years
<b>Communications</b>	Communication Documents	Onsite and Offsite Copies
	Press Releases	Permanent
	Annual Reports	Permanent
	Other Publications	7 Years
	Photos	7 Years
	Press Clippings	7 Years
<b>Donor Services</b>	Fund Agreements, Papers, Copies	Permanent
	Correspondence, Gifts, Grant Req's.	Permanent
<b>Consulting Services Technology</b>	Consulting Contracts	7 Years from end of term
	Software Licenses and Support	7 Years after end of obligations
<b>General Administration</b>	CEO Correspondence	7 Years
	CEO Calendars	7 Years
<b>HR Records/Data</b>	Employee Personnel Records <ul style="list-style-type: none"> <li>• Disciplinary Notices</li> </ul>	Three (3) years after the employee's termination

	<ul style="list-style-type: none"> <li>Promotions, Demotions</li> <li>Performance Evaluations</li> <li>Discharge, Layoffs</li> <li>Training, Testing Files</li> </ul>	
	Affirmative Action Programs/Documents	Five (5) Years ( <i>Recommended not required</i> )
	Employees Health Records <ul style="list-style-type: none"> <li>On-the-job Injuries resulting in loss of time at work</li> <li>Drug/Alcohol testing</li> </ul>	Five (5) Years
	Workers Comp: Chemical safety & toxic exposure records	Duration of employment plus thirty (30) years
	Employee Benefits Records <ul style="list-style-type: none"> <li>Documentation of benefits election</li> <li>Beneficiary Designations</li> <li>Eligibility Determinations</li> <li>COBRA notices</li> <li>Summary Plan Descriptions &amp; Earnings</li> </ul>	Three (3) years
	Retirement: Records required to determine retirement benefits	Must be kept indefinitely
	Unlawful Employment Practices/Claims, Investigations, Legal Proceedings <ul style="list-style-type: none"> <li>Personnel &amp; Payroll Records (complaining party)</li> <li>Personnel &amp; Payroll Records for all others holding or applying for similar positions</li> </ul>	Until disposition of the case
	FMLA <ul style="list-style-type: none"> <li>Leave Policies &amp; Benefits</li> <li>Dates &amp; Hours of Leave Used</li> <li>Records Regarding Disputes Regarding Leave Designation</li> <li>Employee on Leave &amp; Benefits</li> </ul>	Three (3) Years
	Recruitment, Hiring, Job Placement <ul style="list-style-type: none"> <li>Applications</li> <li>Resumes</li> <li>Job Inquiries</li> <li>References</li> <li>Postings/Ads</li> <li>Employment Test Results</li> <li>Job Notices Sent to Outside Agencies</li> </ul>	Two (2) Years – Or the duration of any litigation/claim regarding hiring practices
	Child Labor Certificates & Notices	Three (3) Years
<b>HR Records/Data</b>	I-9 Forms	The Later of Three (3) Years from Hire Date or One (1) Year after Termination
	Payroll Records <ul style="list-style-type: none"> <li>Name, ID #, Address, Age, Gender, Position</li> <li>Individual Wage Records</li> <li>Time &amp; Date Workweek begins</li> </ul>	Four (4) Years

	<ul style="list-style-type: none"> <li>• Regular Hourly Rate</li> <li>• Hours Worked (daily, weekly, monthly)</li> <li>• Weekly Overtime Earnings</li> <li>• Daily/Weekly Straight Time</li> </ul> <p>Earnings</p> <ul style="list-style-type: none"> <li>• Deductions from Wages</li> <li>• Additions to Wages</li> <li>• Wages Paid Each Pay Period</li> <li>• Payment Dates</li> <li>• Pay Periods</li> <li>• Piece Rate</li> <li>• Unemployment Insurance Records</li> </ul>	
	<p>Employee Wage Records</p> <ul style="list-style-type: none"> <li>• Time Cards</li> <li>• Wage Rate Calculation Tables :</li> </ul> <p>Straight &amp; Over Time</p> <ul style="list-style-type: none"> <li>• Shift Schedules</li> <li>• Individual Hours &amp; Days</li> <li>• Piece Rates</li> <li>• Records Explaining Wage</li> </ul> <p>Differentials between Genders</p> <ul style="list-style-type: none"> <li>• Employment Contracts</li> </ul>	<p>Three (3) Years</p>

## EXECUTIVE COMPENSATION POLICY

### Program Philosophy and Objectives

ITRC's primary objective is to provide a reasonable and competitive executive total compensation opportunity consistent with market-based compensation practices for individuals possessing the experience and skills needed to improve the overall performance of the organization.

The organization's executive total compensation program is designed to:

- Encourage the attraction and retention of high-caliber executives.
- Provide a competitive total compensation package, including benefits.
- Strongly support and further transition to a "pay for performance" culture through the use of incentives for key employees.
- Reinforce the goals of the organization by supporting teamwork and collaboration.
- Ensure that pay is perceived to be fair and equitable.
- Be flexible to reward individual accomplishments as well as organizational success.
- Ensure that the program is easy to explain, understand, and administer.
- Balance the need to be competitive with the limits of available financial resources.
- Ensure that the program complies with state and federal legislation.

### Program Market Position

While ITRC focuses on comparable nonprofit organizations in our area to benchmark pay, we also understand that the market for executive talent may be broader than this group. Market information from two additional market segments, private foundations, and published not-for-profit compensation surveys may be used as a supplement.

In addition, ITRC may also collect other published survey data, when appropriate, for for-profit organizations for comparable functional competencies such as finance, human resources, information technology, and database creation. Together with data from the comparable local organizations, data from these market segments are used to form a "market composite" to assess the competitiveness of compensation. In general, ITRC positions total compensation, including benefits, at the median of the market. Programs are designed to be flexible so that compensation can be above or below the median based on experience, performance, and business need to attract and retain specific talent.

### Governance and Procedures

ITRC's executive compensation program is administered by the Executive Committee of the board. The Executive Committee is responsible for establishing and maintaining a competitive compensation program for the key executives of the organization. The committee meets as needed to review the compensation program and make recommendations for any changes to the board, as appropriate.

The Executive Committee provides an annual review to evaluate the organization's executive compensation program for competitiveness, individual value to the organization, and continued coincidence with the total budget and income of the organization. The evaluation is intended to

ensure that the compensation program falls within a reasonable range of competitive practices for comparable positions among similarly situated organizations, while maintaining a cost structure that promotes healthy and appropriate financial security for the organization.

Following this review, the committee reviews and approves, for selected key executives, base salaries and annual incentive opportunity adjustments, and objectives and goals for the upcoming year's annual incentive plan. The committee reviews and recommends to the full board salary approval and incentive awards for the members of the ITRC senior management team.

## SPONSORSHIP POLICY

### Definition

A sponsorship is a mutually beneficial exchange whereby the sponsor receives value in return for financial support or goods or services-in-kind provided to the organization. The relationship requires a formal written agreement or confirmation setting out the terms of the sponsorship, including any recognition to be provided to the sponsor, and must be signed by an authorized member of the sponsor and by ITRC's Chief Executive Officer.

Sponsorships may be considered business expenses and not charitable donations, depending upon the content and requirements of the sponsorship agreement. Some sponsorships are funded from corporate marketing budgets, others from corporate foundations or other sources. Sponsorships must comply with the ITRC policy regarding conflict of interest. ITRC reserves the right to refuse or decline any offer of sponsorship at its absolute discretion or to negotiate with the sponsor concerning any aspect of a proposed sponsorship.

The corporate sponsorship relationship and material connection between sponsor and the ITRC shall be disclosed by both parties in a manner that complies with the Federal Trade Commission's Guidelines on Endorsements and Testimonials (revised Dec. 2009). If the ITRC discusses the sponsor's trade or business or any of its services, facilities, or products on ITRC's website or social media page or by any other means, then a disclosure shall be made. However, ITRC can give acknowledgement of gratitude to its corporate sponsors without disclosing the material connection between any sponsor and the ITRC.

Sponsorships do not imply endorsement of products or services by the organization. A sponsorship does not automatically imply any exclusive arrangement with the organization. ITRC's Chief Executive Officer, in concert with ITRC Management Team, is responsible for determining whether a sponsorship will be solicited and/or accepted based on an assessment of the best interests of the ITRC organization. ITRC's Chief Executive Officer may refuse any sponsorship deemed at variance with the organization's mission, goals, policies, and best interests.

It is important that any sponsorship arrangement involving ITRC should:

- Be unambiguous and clearly understood by all parties.
- Avoid any real or perceived conflict of interest.
- Avoid endorsement of a commercial product, although ITRC will recognize products which, in our sole estimation, ITRC believes are effective and efficient for use by consumers or businesses to reduce the risk of fraud and/or identity theft.
- Avoid partnerships with inappropriate individuals and organizations.
- Receive appropriate approval (see below).
- Be fully accountable to ITRC's board.

### General Principles Governing Sponsorship

- There must not be preferential treatment as a result of sponsorship, for example an expectation that a company will get favored treatment by ITRC over a competitor.

- Where appropriate, sponsorship should be arranged after publicly calling for expressions of interest to ensure there is no disadvantage to any individual or business.
- Individual staff should not receive any substantial benefit from association with sponsors. Any commissions, substantial gifts, or other financial benefits should be brought to the attention of a supervisor.
- ITRC must retain internal control over any sponsored program, and sponsors should not have any input into internal operational matters relating to a project they have sponsored.

#### Who Can Be a Sponsor?

- Sponsorship arrangements will only be with individuals or companies held in high regard, and who continue to show by their actions that they value an ethical and professional manner of transacting business.
- Sponsorship should be avoided with any business or organization that has a real or perceived conflict of interest, or that does not support the basic principles of ITRC regarding identity theft issues and ethical treatment of consumers and victims.
- The sponsoring organization's policies and procedures will be in concert with the corporate philosophy of ITRC and not likely to cause embarrassment to ITRC.

#### General Guidelines

- In order to ensure editorial integrity, ITRC has established the following principles to guide the acceptance and recognition of sponsorship marketing efforts and content:
  - All sponsorship activities and advertising shall comply with the laws and regulations of the United States, as well as relevant state and local laws.
  - ITRC shall have sole discretion for determining sponsors and the display of sponsor logo's and recognition. All sponsored programs will be recognized as such.
  - Recognition of sponsor products shall not be construed as an endorsement by ITRC.
  - ITRC shall review all sponsorship advertising claims for consumer or business benefit and cost effectiveness and reject any unsubstantiated claims.
  - ITRC will not knowingly recognize any forms of products or services that contradict our stated philosophy regarding identity theft issues, or are determined in any way to be unethical or misleading to the intended consumer or business purchaser, or that we determine in our sole estimation do not represent a good value to the targeted consumer or business segment.
  - Sponsors shall not dictate the form or substance of any content appearing on a sponsored program for ITRC.
  - ITRC shall be directly responsible for communicating and ensuring compliance of its sponsorship policy in all venues and activities related to the sponsorship.
  - ITRC sponsorship policy will be available on ITRC's Web site.

#### Non-Sponsor Funding

The financial support provided by ITRC's sponsors is appreciated; however, sponsors are not the sole source of its funding. Recognized by the IRS as a 501(c)(3) non-profit organization, ITRC is the

recipient of numerous grants awarded in return for nothing more than to continue our mission. In addition, ITRC has been the recipient of multiple cy pres awards in recognition for its good works.

## **ITRC TAX RETURN REVIEW AND FINANCIAL DISCLOSURE**

As a nonprofit organization at the forefront of identity theft issues, ITRC's policy is to uphold the highest legal, ethical, and moral standards. In particular, it is the primary duty of the ITRC Board of Directors to maintain fiduciary responsibility for operations of the ITRC. In order to accomplish appropriate financial oversight and management, and the ability to present the operations of the ITRC to any interested party in a transparent manner, the following policy is enacted:

- Officers and key staff members of the ITRC have a duty to inform the members of the ITRC Board of Directors of the financial condition of the company, and any changes which may affect that condition. This financial disclosure must be done in a timely manner, but in no case less than once per quarter.
- All relevant financial books, ledgers, accounts, and forecasts shall be updated and reconciled no less than once per month. Actual financial performance must be extracted from books and ledgers, and made into a presentation format for use by the board of directors no less than once per month.
- All bookkeeping entries, service accounts, debt accounts, reimbursement accounts, expense accounts, and any other instruments of debt or credit will be kept current as far as posting and other actions. Vendor accounts shall be posted and paid in a manner that promotes trust and accountability of the ITRC.
- At no time should any financial action of Officers, key staff members, or the ITRC Board of Directors be unethical, nor violate any applicable laws or ordinances.
- It is a duty of the Officers and key staff members of the ITRC to provide each member of the ITRC Board of Directors an opportunity to review the annual IRS tax filing prior to submission. This may be done via email correspondence or other method convenient to the particular board member.

## **ITRC DRUG-FREE WORKPLACE**

As a nonprofit organization at the forefront of identity theft issues, ITRC's policy is to uphold the highest legal, ethical, and moral standards. In particular, it is a primary duty of the ITRC Board of Directors and officers of the ITRC to maintain a drug-free workplace. In order to maintain a drug-free workplace, the following policy is enacted:

- Officers and key staff members of the ITRC have a duty to inform all employees of the ITRC that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited on ITRC premises, and any employee found in violation of the ITRC drug use policy may have one or more of the following actions taken against them:
  - o Prohibition,
  - o Mandatory random drug testing to prevent future infractions,
  - o Termination of employment (and/or)
  - o Reporting illegal infractions to law enforcement if the infraction also violates state or federal law.
- In addition, to ensure the continued drug-free environment the ITRC will, as part of its' drug-free awareness program, inform all new ITRC employees of the following:
  - o The dangers of drug abuse in the workplace;
  - o The ITRC's drug-free workplace policy
  - o The availability of local drug counseling, rehabilitation, and employee assistance programs
  - o The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
  - o Each ITRC employee will be given a copy in writing of the ITRC drug policy such that there is full disclosure on both sides as to the understanding of ITRC's drug-free policy
- Included in the terms of employment agreement between ITRC and any new employee, the ITRC will require that the employee:
  - o Notify the ITRC in writing of any conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction
  - o ITRC will take one or more of the punitive actions outlined in the first bullet point of this document within thirty calendar days of employee notification.
  - o If termination notice is not given, the ITRC will, in accordance with Federal standards require such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

## ITRC EXPENSE REIMBURSEMENT AND CHECK AUTHORITY

As a nonprofit organization at the forefront of identity theft issues, ITRC's policy is to uphold the highest legal, ethical, and moral standards. In order to facilitate transparency and fiduciary responsibility in all our financial dealings, the ITRC has enacted the following policy regarding expense reimbursement and check authority:

- ITRC Expense Reimbursement:
  - From time to time it is a benefit to the ITRC for an employee or officer of the company to purchase goods or services on the behalf of the ITRC while using personal funds, either cash or credit cards.
  - It is mandatory for any employee or officer to be granted pre-approval from the ITRC Director of Operations prior to any purchase for which the employee or officer expects reimbursement from the ITRC. Without such prior approval, it will be ITRC general policy to disapprove reimbursement for expenses.
  - When purchasing any goods or services with the expectation of reimbursement from the ITRC, a valid receipt from the seller indicating the transaction or goods, date, and amount must be obtained unless goods or services are purchased with a company credit card in the amount of \$25 or less and the intent of the charges is clear.
  - The ITRC employee or officer must complete the ITRC Expense Report Form to request expense reimbursement from ITRC. The ITRC Expense Report must be signed by the employee or officer requesting the reimbursement, and must also be signed by a different officer with authority to approve use of ITRC funds, usually the Director of Operations.
  - The completed ITRC Expense Report must have attached a vendor/supplier generated receipt for each item on the expense report.
  - All expense reimbursement transactions will be effected by ITRC company check for the exact amount of the expense report tendered by the employee or officer to ITRC.
  - If the unreimbursed expenses were incurred in an activity in which another party, such as an ITRC sponsor, is expected to reimburse the ITRC, then the ITRC employee or officer will provide all information required for ITRC to generate the desired invoice to the other party requesting repayment.
  
- ITRC Check Authority
  - In order to provide necessary checks and balances within the operating structure of the ITRC, it is necessary that no single person be able to create and sign/authorize an ITRC company check.
  - The Director of Operations is the only authority given the right to create checks drawn against any of the ITRC financial accounts. The Director of Operations expressly does not have signature authority for any ITRC checks.
  - The ITRC Chief Executive Officer and the ITRC Secretary of Record are the sole individuals with signature authority for ITRC corporate checks. These authorized check signers expressly do not have creation authority for ITRC checks.
  - Any changes necessary to this policy by way of change in personnel and/or absence of a required signature authority for an extended period of time will require that the remaining officers of the ITRC notify the board of directors and require a notice of change in signature authority be approved by a majority of the ITRC Board of Directors, whether on a temporary or permanent basis.

- Effectiveness of this Expense Reimbursement and Check Authority Policy:
  - This policy represents in writing policy that has been in actual effect within ITRC since mid-2006. All policy statements above have been followed within ITRC daily operations since that time, and thus this policy represents a statement of fact, rather than any effective change to ITRC operations.
  - This policy will be deemed in effect and a continuance of our working policy as of 02/22/2013 upon order of the board of directors.

## PRIVACY

In accordance with state and federal laws the following is the privacy policy for the Identity Theft Resource Center (ITRC):

Your privacy is important to us. The Identity Theft Resource Center maintains a strict privacy policy. This privacy policy governs your use of the ITRC website and mobile device application.

What information does the ITRC collect and how is it used?

ITRC requests that you do not send us sensitive personal information such as Social Security numbers, dates of birth, crime reports, or any financial/medical account numbers. Any such information received by the ITRC will be immediately destroyed.

### Website

The ITRC website does not collect information from a child 13 years or younger without prior parental consent or direct parental notification. The ITRC website is intended for consumers age 14 or older. By using this site, user represents they are age 14 or older. ITRC advises all children under the age of 18 to seek parental consent before using our website.

**User Provided Information:** The website does have a live chat function for users to speak to ITRC Victim Advisors, but no sensitive personal information will be requested other than the state the user resides in as to provide them with relevant information according to their state's laws. If the user chooses to provide the ITRC with sensitive personal information via live chat, said information will be immediately destroyed.

**Automatically Collected Information:** In order to provide the best website experience, the ITRC website does not honor Do Not Track signal requests as this website uses Google Analytics, a web analytics service provided by Google, Inc. ("Google"). Google Analytics uses "cookies," which are text files placed on your computer, to help the website analyze how users use the site. The information generated by the cookie about your use of the website (including your IP address) will be transmitted to and stored by Google on servers in the United States.

Google will use this information for the purpose of evaluating your use of the website, compiling reports on website activity for website operators and providing other services relating to website activity and internet usage. Google may also transfer this information to third parties where required to do so by law, or where such third parties process the information on Google's behalf. Google will not associate your IP address with any other data held by Google. You may refuse the use of cookies by selecting the appropriate settings on your browser; however, please note that if you do this you may not be able to use the full functionality of this website. By using this website, you consent to the processing of data about you by Google in the manner and for the purposes set out above.

### Application and Live Chat Feature

The ITRC application does not collect information from a child 13 years or younger without prior parental consent or direct parental notification. The ITRC website is intended for consumers age 14 or older. By using this application, user represents they are age 14 or older. ITRC advises all children under the age of 18 to seek parental consent before using our application.

**User Provided Information:** The ITRC application may ask the user for their zip code in order to provide the user with the location of pertinent assistance, such as a Social Security office or local police station. The application does have a live chat function for users to speak to ITRC Victim Advisors, but no sensitive personal information will be requested other than the state the user resides in as to provide them with relevant information according to their state's laws. If the user chooses to

provide the ITRC with sensitive personal information via live chat, said information will be immediately destroyed.

The ITRC app case log feature allows users to make entries into this feature regarding the steps victims have taken during their remediation process. This information can include but is not limited to date, time and duration of calls to specific entities that the victim must contact to remediate their case, forms requested or filed, and actions taken. Sensitive personal information is not collected and victims are instructed to NOT add notes to their log that contain PII. All case log entries are housed on the device upon which they are entered and not collected, retained, or stored by the ITRC.

**Automatically Collected Information:** The ITRC application will collect the user's phone number and unique device MEID or IMEI identifier. In addition, when you visit the mobile application, we may use GPS technology (or other similar technology) to determine your current location in order to provide you with the location of pertinent assistance, such as a Social Security office or local police station. If you do not want us to use your location for the purposes set forth above, you should turn off the location services for the mobile application located in your account settings or in your mobile phone settings and/or within the mobile application.

### ITRC Call Center

The ITRC Call Center does not collect information from a child under the age of 18 years without prior parental consent or direct parental notification. The ITRC Call Center is intended for consumers age 18 or older. By calling the ITRC Call Center, the caller represents they are 18 years or older.

**User Provided Information:** The ITRC Call Center collects personal information for the sole purpose of identity theft mitigation. This information consists of the caller's name, telephone number, email address, and state of residence. If you need to have forms mailed to you, we will also collect your mailing address.

**Automatically Collected Information:** The ITRC Call Center will automatically collect the phone number of the person calling.

### Usage of Information

The ITRC uses the information collected solely for the purpose of providing identity theft case mitigation advice and conducting research on and about the crime of identity theft; however, individuals are not identified in the results of these studies.

Do third parties see and/or have access to information obtained by the ITRC?

Yes. We will share your information with third parties only in the ways that are described below:

We may disclose User Provided and Automatically Collected Information:

- as required by law, such as to comply with a subpoena, or similar legal process;
- when we believe in good faith that disclosure is necessary to protect our rights, protect your safety or the safety of others, investigate fraud, or respond to a government request;
- with our trusted services providers who work on our behalf, do not have an independent use of the information we disclose to them, and have agreed to adhere to the rules set forth in this privacy statement.
- for research or statistical purposes; however, individuals are not identified in the results of these studies.
- with your express permission, we may share your information with the media or legislators who desire to contact and speak to individuals who have experienced particular identity theft abuses.

## Data Retention Policy, Managing Your Information, Disposal

The ITRC will maintain personal information collected via its Call Center in electronic form using Salesforce, a database program specially designed for enterprise business services. The Salesforce database used by ITRC is accessible by ITRC staff and third party vendors for the specific purpose of case remediation only, and with permissions regulated strictly by individual login. Safeguards for the protection of electronic files include both hardware and software firewalls, use of SSL technology for all connections, verified IP for all connections, and discrete user tokens on each user machine, as well as user name and password protection. Information can include name, state of residence, phone number, and/or e-mail address, and in some cases city and street address.

All other personal and non-personal information collected by the ITRC are to be stored in electronic form on the ITRC file server, in an access controlled room, within the ITRC facility. They are protected by appropriate firewalls and intrusion detection. External access to the server is limited to secure VPN only.

Because the ITRC undertakes an advisory role with victims of identity theft, and because the nature of this crime may require years for mitigation, victims have the expectation that ITRC will retain for safekeeping and future access any case information that may be of use to the victim's case in the future. ITRC has the ability to store client files for safekeeping indefinitely in a secure, locked storage unit housed in the same building as the ITRC offices. Data will be retained for a minimum period of three years and/or destroyed at the request of the victim.

## Children

We do not use the ITRC website or application to knowingly solicit data from or market to children under the age of 13. If a parent or guardian becomes aware that his or her child has provided us with information without their consent, he or she should contact us at [itrc@idtheftcenter.org](mailto:itrc@idtheftcenter.org). We will delete such information from our files within a reasonable time.

## Security

We are concerned about safeguarding the confidentiality of your information. We provide physical, electronic, and procedural safeguards to protect information we process and maintain. For example, we limit access to this information to authorized employees and contractors who need to know that information in order to operate, develop or improve our services. Please be aware that, although we endeavor provide reasonable security for information we process and maintain, no security system can prevent all potential security breaches.

## Changes

This Privacy Policy may be updated from time to time for any reason. We will notify you of any changes to our Privacy Policy by posting the new Privacy Policy here and informing you via email or text message. You are advised to consult this Privacy Policy regularly for any changes, as continued use is deemed approval of all changes. You can check the history of this policy by clicking [here](#).

## Your Consent

By using the ITRC website or application you are consenting to our processing of your information as set forth in this Privacy Policy now and as amended by us. "Processing," means using cookies on a computer/hand held device or using or touching information in any way, including, but not limited to, collecting, storing, deleting, using, combining and disclosing information, all of which activities will take place in the United States. If you reside outside the United States your information will be transferred, processed and stored there under United States privacy standards.

## Contact us

If you have any questions regarding privacy while using the Application, or have questions about our practices, please contact us via email at [itrc@idtheftcenter.org](mailto:itrc@idtheftcenter.org).

END OF PRIVACY POLICY

## ITRC INTERNAL PRIVACY POLICIES AND PROCEDURES

### Data Access

Access to data will be limited to those employees having a need for such data and that such employees shall be advised of and agree, in writing to comply with these regulations.

All contractors, subcontractors, and consultants requiring access to identifiable data will agree, in writing to comply with these requirements. At no time shall such contractors, subcontractors, and consultants be given access to identifiable data within ITRC without a need to know, and prior approval of the ITRC management.

### Data Collection

This is data which is collected for the purposes of assisting general victims of identity theft. This shall consist of name, state of residence, phone number, and/or e-mail address. A street address may be collected for the purposes of mailing information to the individual to assist them with their case.

This is also data that is collected for the purposes of studies or research. Upon completion of gathering of data, the personal identifying information shall be separated and maintained in a secure manner. During the research phase, some individuals request to do media. At this time they volunteer their information, which is entered, as appropriate, into SalesForce. We do not release the victim's information to the media. It is the policy of the ITRC to provide the media contact information to the victim so that the victim may initiate the contact with the media.

Any data automatically collected by the ITRC website or application is for the use and operation of said website and application. Information collected automatically by the ITRC website or application is not stored internally with the ITRC, but with third party vendors operating and maintain said website and application.

### Data Disclosure

Any private person from whom identifiable information is collected or obtained shall be notified that such data will only be used or revealed for research or statistical purposes, or identity theft case management, and that compliance with the request for information is not mandatory and participation in the project or case may be terminated at any time.

All participants in the victim assistance program are informed of the following:

- All information provided is used to assist in providing proper guidance for the individual. The ITRC does not require city or street address of the caller. However, a city and street address may be collected for the purposes of mailing information to the individual to assist them with their case.
- We do require that they provide the name of the state of residence so that we can give them correct information on their state laws and case options. The individual may or may not choose to supply the name of the city from where they are calling.
- Persons being asked to participate in any ITRC conducted study are informed that giving their person information is entirely optional.

All participants in the collection phase of any ITRC conducted study will have all information that identifies the participant stripped from the working data for storage. This personal data is used only to contact those individuals from whom greater explanation is required for the study. It is then removed from the dataset.

## Permission to share information / Data Transfer

Any person providing personal information, regarding any private person from which identifiable data is collected or obtained by the ITRC, either orally or by means of written questionnaire, shall be advised that the data will only be used or revealed

- as required by law, such as to comply with a subpoena, or similar legal process;
- when we believe in good faith that disclosure is necessary to protect our rights, protect your safety or the safety of others, investigate fraud, or respond to a government request;
- with our trusted services providers who work on our behalf, do not have an independent use of the information we disclose to them, and have agreed to adhere to the rules set forth in this privacy statement.
- for research or statistical purposes; however, individuals are not identified in the results of these studies.
- with private person's express permission, we may share their information with the media or legislators who desire to contact and speak to individuals who have experienced particular identity theft abuses.

## Requirements for Staff

Members of the ITRC will, at all times, ensure that the privacy of confidential information is maintained.

Data storage shall be maintained in accordance with current best business practices with all appropriate safeguards in place. At no time will any electronic storage devices be donated, traded, exchanged, shared or sold to any party, person or entity. Nobody will be allowed access to any area of the ITRC network or server domain without the express permission of a member of the management team. No ITRC personnel shall accept and/or connect any alien device to the domain without the expressed permission of the management team. All research data is maintained on the ITRC servers behind appropriate fire walls and security.

ITRC Staff and third party contractors also must sign the excerpt below upon joining the ITRC:

I, the undersigned, have read the ITRC privacy policy above and understand the necessity for maintaining privacy of personally identifying information. I have read and understand the requirements above as they relate to my handling of personally identifying information and hereby agree to comply with all respects and intents of the ITRC policy. I further understand that my personal accountability for proper handling of personally identifying information is a condition for my continued employment or business association with the Identity Theft Resource Center.

## Security/Storage Details:

The ITRC will maintain personal information collected via its Call Center in electronic form using Salesforce, a database program specially designed for enterprise business services. The Salesforce database used by ITRC is accessible by ITRC staff and third party vendors for the specific purpose of case remediation only, and with permissions regulated strictly by individual login. Safeguards for the protection of electronic files include both hardware and software firewalls, use of SSL technology for all connections, verified IP for all connections, and discrete user tokens on each user machine, as well as user name and password protection. Information can include name, state of residence, phone number, and/or e-mail address, and in some cases city and street address.

All other personal and non-personal information collected by the ITRC are to be stored in electronic form on the ITRC file server, in an access controlled room, within the ITRC facility. They are protected by appropriate firewalls and intrusion detection. External access to the server is limited to secure VPN only.

#### Retention/Disposal

Because the ITRC undertakes an advisory role with victims of identity theft, and because the nature of this crime may require years for mitigation, victims have the expectation that ITRC will retain for safekeeping and future access any case information that may be of use to the victim's case in the future. ITRC has the ability to store client files for safekeeping indefinitely in a secure, locked storage unit housed in the same building as the ITRC offices. Data will be retained for a minimum period of three years and/or destroyed at the request of the victim.

## ITRC HARASSMENT POLICY

Identity Theft Resource Center (ITRC) prohibits unlawful harassment and harassment because of sex, race, color, religion, national origin, ancestry, physical or mental disability, veteran status, age or any other basis protected by federal and state law. Any such harassment will not be tolerated at ITRC. This policy applies to all employees, vendors, clients and other persons with whom ITRC employees have contact with in the course of conducting business.

### Sexual Harassment

Sexual harassment is against company policy. ITRC is committed to providing a work environment free of inappropriate and disrespectful behavior, communications and other conduct directed at an individual because of his or her sex, including conduct that may be defined as sexual harassment. Applicable federal and state law defines sexual harassment as unwanted sexual advances, requests for sexual favors, or visual, verbal, or physical conduct of a sexual nature when: (1) submission of the conduct is made a term or condition of employment; or (2) submission to or rejection of the conduct is used as basis for employment decisions affecting the individual; or (3) the conduct has the purpose or effect of unreasonably interfering with the employees work performance or creating an intimidating, hostile, or offensive working environment. The following are examples of prohibited conduct; they include but are not limited to:

- Unwanted sexual advances;
- Offering employment benefits in exchange for sexual favors
- Making or threatening reprisals after a negative response to sexual advances;
- Visual conduct such as leering, making sexual gestures, or displaying sexually suggestive objects, pictures, cartoons, or posters;
- Verbal conduct such as making or using derogatory comments, epithets, slurs, sexually explicit jokes, or comments about any employee's body or dress;
- Verbal sexual advances or propositions
- Verbal abuse of a sexual nature, graphic verbal commentary about an individual's body, sexually degrading words to describe an individual, or suggestive or obscene letters, notes, or invitations;
- Physical conduct such as touching, assault, or impeding or blocking movements; and
- Retaliation for reporting harassment or threatening to report harassment.

Sexual harassment on the job is unlawful whether it involves coworker harassment, harassment by a Manager, or harassment by persons doing business with or for ITRC.

### Other Types of Harassment

Prohibited harassment on the basis of race, color, religion, national origin, ancestry, physical or mental disability, veteran status, age, or any other protected basis, includes behavior similar to sexual harassment, such as:

- Verbal conduct such as threats, epithets, derogatory comments, or slurs;
- Visual conduct such as derogatory posters, photographs, cartoons, drawings, or gestures;
- Physical conduct such as assault, unwanted touching, or blocking normal movement; and
- Retaliation for reporting harassment or threatening to report harassment.

### Retaliation

It is against company policy and unlawful to retaliate in any way against anyone who has lodged a harassment complaint, has expressed a concern about harassment, including sexual harassment, or has cooperated in a harassment investigation. Therefore, the initiation of a complaint, in good faith, shall not under any circumstances be grounds for discipline. However, individuals who make complaints that are demonstrated to be intentionally false may be subject to disciplinary action, up to and including termination.

### Enforcement

All managers and supervisors are responsible for:

- Implementing the ITRC policy on Harassment, which includes, but is not limited to, sexual harassment and retaliation

- Ensuring that all employees they supervise have knowledge of and understand the policy
- Taking and/or assisting in prompt and appropriate corrective action when necessary to ensure compliance with the policy; and
- Conducting themselves in a manner consistent with the policy.

#### Complaint Procedure

ITRC's complaint procedure provides for an immediate, thorough, and objective investigation of any claim of unlawful or prohibited harassment, appropriate disciplinary action against one found to have engaged in prohibited harassment, and appropriate remedies for any victim of harassment. A claim of harassment may exist even if the employee has not lost a job or some economic benefit.

Anyone who has been subjected to the conduct prohibited under this Policy, or who has knowledge of such conduct, should report this information to his or her manager or any other manager with ITRC or to the ITRC President/CEO as soon as possible.

However, employees are not required to report any prohibited conduct to a superior who may be hostile, who has engaged in such conduct, who is a close associate of the person who has engaged in the conduct in question, or with whom the associate is uncomfortable discussing such matters.

Complaints regarding harassment or retaliation may be oral or in writing. Individuals, who make complaints that are demonstrated to be intentionally false, may be subject to discipline, up to and including termination.

All incidents of prohibited harassment that are reported will be investigated promptly. The investigation will be completed and a determination regarding the reported harassment will be made and communicated to the employee who complained and to the accused harasser. During the investigation, confidentiality will be preserved to the fullest extent possible without compromising the company's ability to conduct a good faith and thorough investigation.

If ITRC determines that prohibited harassment has occurred; ITRC will take effective remedial action commensurate with the circumstances. Appropriate action will also be taken to deter any future harassment. If a complaint of prohibited harassment is substantiated, appropriate disciplinary action, up to and including discharge, will be taken.

ITRC recognizes that actions that were not intended to be offensive may be taken as such. An employee who believes that he or she has been subjected to sexual harassment by anyone is encouraged, but not required, to promptly tell the person that the conduct is unwelcome and ask the person to stop the conduct. A person who receives such a request must immediately comply with it and must not retaliate against the employee for rejecting the conduct. The company encourages, but does not require, individuals to take this step before utilizing the above Complaint Procedure.

## ITRC SOCIAL MEDIA POLICY

The following are guidelines for ITRC employees and volunteers who participate in social media. Social media includes personal blogs and other websites, including Facebook, LinkedIn, Twitter, YouTube or other social media platforms. These guidelines apply whether employees are posting to their own sites or commenting on other sites, or commenting on the ITRC sites:

- Follow all applicable ITRC policies, including the Ethical Conduct Policy. For example, you must not share confidential or proprietary information about ITRC and you must maintain victim/consumer privacy.
- Write in the first person. Where your connection to ITRC is apparent, make it clear you are speaking for yourself and not on behalf of ITRC. In those circumstances, you should include this disclaimer: "The views expressed on this [blog; website] are my own and do not reflect the views of my employer." Consider adding this language in an "About me" section of your blog or social media profile.
- If you identify your affiliation to ITRC, your social media activities should be consistent with ITRC's high standards of professional conduct. Again, please refer to the Ethical Conduct Policy.
- Be professional, use good judgment and be accurate and honest in your communications; errors, omissions or unprofessional language or behavior reflect poorly on ITRC, and may result in liability for you or ITRC. Be respectful and professional to fellow employees, business partners, collaborators, government entities, competitors and consumers/victims.
- Ensure that your social media activity does not interfere with your work commitments. Long term and repeated use of social media sites during working hours is strongly discouraged and will result in coaching and discipline.
- ITRC discourages staff in management/supervisory roles from initiating "friend" requests with employees they manage. Managers/supervisors may accept friend requests if initiated by the employee, and if the manager/supervisor does not believe it will negatively impact the work relationship.
- ITRC does not endorse people, products, services and organizations. On social media websites such as LinkedIn, where your affiliation to ITRC is known, personal recommendations or endorsements should only be given if the appearance of endorsement is not present.
- Unless approved by the ITRC, your social media name, handle and URL should not include ITRC's name or logo.
- Employees making negative or unprofessional comments about the ITRC its brand, products or services, or about ITRC partners, sponsors, or the victims it serves, will be subject to disciplinary action.
- If any Employee becomes aware of the above conduct by another employee they will inform ITRC President/CEO immediately.