

Violation reporting procedure

1. General provisions

1.1. The Bureau are the responsible authority in Latvia for investigating anti-doping rule violations, result management, as well as referring the case to the commission or imposing sanctions.

1.2. The Bureau, in order to fulfil its functions and to ensure the protection of public interests, as well as to facilitate reporting of detected breaches of anti-doping rules, has developed a reporting system and violation reporting procedure, in accordance with paragraph 11.4.3 of the International Standard for Testing and investigations.

1.3. The aim of the arrangements is to provide information on how to report of potential anti-doping rule violations to the Bureau, the rights and responsibilities of informants and whistleblowers, as well as to facilitate the provision of any information that may contribute to the detection of anti-doping rule violations.

1.4. The Procedure shall apply to any member of the Bureau, as well as to the informant and whistleblower, who shall provide information to the Bureau regarding alleged anti-doping rule violations.

1.5. This Procedure will be regularly reviewed and evaluated to ensure that it reflects best practices.

1.6. Terms used in Procedure:

1.6.1. Bureau - Anti-Doping Bureau of Latvia;

1.6.2. Informant - a natural or legal person, who provides information on the detection of the anti-doping rule violation or potential anti-doping rule violation;

1.6.3. Disclosure - information provided by the Informant reporting a potential violation through the Bureau's reporting system;

1.6.4. Procedure — Violation reporting procedure;

1.6.5. Code - World Anti-Doping Code;

1.6.6. Confidential source: Informant or whistleblower;

1.6.7. Violation - any anti-doping rule violation, violations of the non-compliance of the World Anti-Doping Code, any act or omission likely to threaten the fight against doping;

- 1.6.8. The person for whom information has been provided - a natural or legal person who has been reported to have committed a violation;
- 1.6.9. General Data Protection Regulation - Regulation of the European Council and of the Parliament on the protection of individuals with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC;
- 1.6.10. Whistleblower - the Informant shall become a whistleblower as soon as the Bureau grants the Informant the formal status of the whistleblower and an agreement on the granting of the status of the whistleblower is signed;
- 1.6.11. Reporting platform: Whistleblower software tool introduced by the Bureau for Anonymous whistleblowing.

2. Provision of information on alleged violation

- 2.1. Any natural or legal person establishing, identifying, experiencing, knowing or reasonably suspected of committing a violation shall have the right to provide information anonymously or confidentially using the Bureau's reporting platform.
- 2.2. Information may be disclosed in respect of any violation referred to in the Code or other information relating to dishonesty in sport, whether the person concerned has committed the violation in the past, is currently committed or intends to commit the violation in the future.
- 2.3. The violation may be committed by:
- 2.3.1. Athlete;
 - 2.3.2. Sport employee;
 - 2.3.3. Doping control officer;
 - 2.3.4. Staff of a laboratory accredited by the World Anti-Doping Agency;
 - 2.3.5. Personnel of the anti-doping organisation;
 - 2.3.6. Staff of national regulatory authorities;
 - 2.3.7. Others (e.g., but not only, chaperons, assistants, medical staff, officials, sponsor staff and consultants).
- 2.4. The information can be provided by means of the Bureau's reporting platform to which the link is available on the Bureau's website (<http://antidopings.gov.lv/antidopings/informe-on-anti-doping-rule-breaking>).

3. Procedures on Receiving Anonymous Message

- 3.1. On the basis of the information provided by the person concerning the violation, the Bureau shall receive and classify the person as the informant;
- 3.2. The Bureau will assess the reliability of the information received, the motivation of the source and the applicability of the Code, as well as the applicability of other laws and regulations in force. The Bureau may contact the informant in order to obtain additional information, as well as in order to obtain a permit for the transfer of a violation to an external organisation where the examination of the violation falls within the competence of another organisation;
- 3.3. The Bureau may request participation in a virtual or face to face interview in order to obtain additional information and to assess compliance with the status of whistleblower;

3.4. The Bureau shall assess whether the violation proceedings fall within the competence of another organisation or, however, within the competence of the Bureau and the investigation has to be initiated;

3.5. The Bureau assess whether the granting of the status of the whistleblower is appropriate. If both parties agree to conclude an agreement on the granting of whistleblower status the agreement is signed;

3.6. The expert on legal matters of the Bureau and the Whistleblower shall cooperate in order to obtain additional information to assist the investigation process;

3.7. Upon completion of the investigation and at the request of the whistleblower, the Bureau shall provide information on the investigation carried out and where information on the awards and defense matters if applicable (detailed procedure in Annex 1 to the Rules).

4. Communication

4.1. Communication with confidential sources will be carried out using reliable means of communication;

4.2. At all stages of the process, all relevant communications (e-mail, telephone interviews, encrypted videoconference, personal meetings, etc.) related to the exchange of information related to the detection of violation will be documented in the Bureau's document management system with separated access. The exchange of information with persons or organisations outside the Bureau (e.g. law enforcement authorities) will be carried out using encryption (if practicable) and meeting the highest security standards outside the International Privacy and Personal Data Protection Standard.

5. Protection

5.1. The Bureau shall ensure the protection and confidentiality of the identity of confidential sources. The identity of a confidential source shall never be shared outside the Bureau expert and the Director of the Bureau, unless:

5.1.1. Has received written consent from the confidential source, or;

5.1.2. governed by law.

5.2. The identity of a confidential source shall be protected throughout the investigation. Before the investigation report or any information on the case is circulated outside the Bureau, the Bureau shall review all relevant documents in order to ensure that they do not pose a risk to any confidential source. The Director of the Bureau has been given the final verdict in the case in all matters relating to confidential source security;

5.3. If a confidential source voluntarily discloses its identity to the public, the Bureau shall not be able to provide further protection of the identity of confidential source;

5.4. Any action against a confidential source, including dismissal, suspension and downgrading, loss of opportunities, boycotts, transfer to another post as punishment, wage reduction, harassment or other punishable or discriminatory treatment, as well as where the person concerned has been informed about the identity of the confidential source and is reasonably considered to have carried out or initiated such a person to counter the confidential

source, it will be investigated in accordance with article 2.11 of the Code “Acts by an Athlete or Other Person to Discourage or Retaliate Against Reporting to Authorities”.

5.5. In addition to the violation of article 2.11 of the Code, the Bureau, with the support of trusted stakeholders and/or the relevant law enforcement authorities, will take advantage of legal possibilities to suspend and prevent future countermeasures. This protection shall be the subject of a whistleblower who agrees with the Bureau to disclose his identity to the institution concerned in accordance with article 5.1 of this procedure.

5.6. The Bureau cannot provide physical protection for the Whistleblower and his family. However, if the whistleblower is in danger, the Bureau will, if necessary, provide assistance in updating and addressing this issue with the support of trusted stakeholders and/or the law enforcement authorities concerned. The conditions for obtaining this protection shall be that of the Whistleblower, who shall give his agreement to the Bureau to disclose its identity to the institution concerned.

6. Appreciations for detecting violations

6.1. Where a confidential source is in breach of anti-doping rules, it may be entitled to benefits from paragraph 10.7.1 of the Code “Substantial Assistance in Discovering or Establishing Code Violations”;

6.2. Appreciations for promoting fair sport and ensuring fair play principles in Latvia.

7. Procedures and Sanctions

7.1. Information on the violation shall be received by the Director and expert of the Bureau. The procedures for the receipt of information, the investigation and the procedures for establishing the status of the whistleblower are set out in the Annex to this procedure (see Annex No.1);

7.2. The Bureau may apply disciplinary procedures and sanctions to the person concerned, or to the information concerning the alleged violation, to the relevant anti-doping organisation under whose jurisdiction the person concerned has been provided with the information. Such sanctions include ineligibility, withdrawal of results, penalty, reimbursement of money awards, etc. The Bureau may, where necessary, refer the case to law enforcement authorities, professional bodies and other stakeholders;

7.3. The Bureau shall carry out regular checks on the information of all confidential sources in order to verify its veracity, consistency and accuracy. The Bureau shall regularly confirm confidential source information using publicly available information, external and internal databases, other organisations' information and other confidential sources. Where the Bureau considers that confidential source information is inaccurate, misleading or abusive, the Bureau shall carefully review the information provided by the confidential source and may classify all reports from that source as questionable.

7.4. It is possible to identify a violation of article 2.5 of the Code “Tampering or Attempted Tampering with any Part of Doping Control by an Athlete or Other Person”, and the applicable anti-doping organisation may initiate a case for violation of anti-doping rules and related consequences;

7.5. In the case of the disclosure of any malicious or knowingly false information regarding violations, a violation of paragraph 2.5 of the Code may be found “Tampering or Attempted Tampering with any Part of Doping Control by an Athlete or Other Person” and the granting of sanctions pursuant to Article 10 of the Code for the execution of which sanctions including ineligibility are provided, disqualification of points, medals, grant a fines, etc. In determining the provision of malicious or knowingly false information, the agreement entered into regarding the granting of whistleblower status shall be terminated without delay, as well as the loss of all rights referred to in this procedure, and the investigation into a possible violation of the information provided shall be terminated.

7.6. The Bureau shall have the right to refer the matter to law enforcement authorities, professional bodies and other relevant organisations if necessary.

7.7. Persons in possession of which a violation has been identified shall be informed of the investigation initiated following the verification of the information provided and the establishment that sufficient evidence is available to initiate the investigation.

8. Privacy and security

8.1. Operational data of the investigation, i.e. data used to support investigative activities, including personal data, will be stored in a secure environment and separated from any other information of the Bureau. Access will be strictly limited in accordance with article 14.6 of the Code and the International Privacy and Personal Data Protection Standard (ISPPPI).

8.2. Materials — documents, photographs, video materials, products or their packagings, discarded medical equipment, etc.

8.3. All material evidence has been identified, evaluated, registered and attached to the case. Any physical evidence derived from confidential sources will be stored in a special metal fireproof cabinet, and access will only be provided to an expert on legal matters and the Director of the Bureau.

8.4. The Bureau undertakes to protect the confidential source and the privacy of the persons concerned. The Bureau will process the data received in accordance with this procedure, the International Privacy and Personal Data Protection Standard, the General Data Protection Regulation and other regulatory enactments;

8.5. The collection and processing of personal data by means of a reporting platform on the Bureau's home page will be governed by a privacy policy that will be invited to be reviewed before the information is provided;

8.6. Persons raising privacy and security issues under this policy have the possibility to contact the Bureau (datu.aizsardziba@antidopings.gov.lv).

1. Provision of information

- 1.1. Any person may submit information on a potential violation;
- 1.2. The Bureau shall determine the status of the informant for all persons who provide information regarding the alleged violation. This means that persons providing information have basic protection as regards the right to the protection of their identity;
- 1.3. Although the Bureau would adopt the information provided through the channels intended for communication (e-mail address, e-address, telephone, letter sent via postal services, etc.), the Bureau encouraged the use of the reporting platform introduced by the Bureau (<http://antidopings.gov.lv/antidopings/informe-on-anti-doping-regulation-parking>), which is a reliable reporting channel. The reporting channel is easy to use and contains the necessary information to enable anyone to submit information successfully.
- 1.4. All information transmitted through the reporting platform shall be received by the Bureau's expert on legal matters and by the Director of the Bureau. Following the submission of information on the violation, the applicant will receive information on the receipt of the information provided and may be requested to provide answers to additional questions.
- 1.5. Information providers are invited to communicate directly with an expert on legal matters through a reporting platform or roberts.lauris@antidopings.gov.lv to find out more information before submitting a report to the reporting platform.

2. Assessment of the information provided by the information provider

- 2.1. Any information provided by the informant will be evaluated by an expert of the Bureau in order to determine the reliability of the information and whether the information provided falls within the scope of the Code;
- 2.2. According to the information received, the expert of the Bureau will launch an information check, which may also provide for further communication with the informant;
- 2.3. The information verification process requires trust from both parties involved, experts from the Bureau and the informant. This trust shall be established through the first information provided via the reporting channel, subsequent communications, via telephone or video conference and, if necessary, through an face to face interview;
- 2.4. Part of the verification of the information provided is the readiness of the informant to answer additional questions. If a person has submitted an anonymous application without the possibility of asking an additional question or answers to additional questions are not provided, the expert of the Bureau will perform the evaluation on the basis of the information initially provided.

3. Virtual or face-to-face Interviews

3.1. Where appropriate, the final phase of the information assessment process shall include a virtual or face-to-face interview. Information providers are invited to make themselves available to discuss the following issues during the interview:

3.1.1. The motivation to provide information on that violation;

3.1.2. Access to that information (first source of information, secondary source of information or other);

3.1.3. Relations with the person for whom the information is provided;

3.1.4. Any concerns (including security) arising from the provision of information to the Bureau.

3.2. The expert of the Bureau shall register the replies received during the interview in a file management system of the Bureau with access to a separate folder with access only to the expert and the Director of the Bureau;

4. Status of the whistleblower

4.1. It is not mandatory for the informant to become a whistleblower and the decision to engage in the whistleblower relationship should be mutual. The status of the whistleblower offers additional rights to the information provider, who wishes to continue to cooperate with the Bureau. The granting of the status of the whistleblower is a matter for the Bureau, which will consider a number of factors in its decision, such as:

4.1.1. Whether the violation for which the Code is notified is applicable;

4.1.2. Whether the alleged violation is the subject of a limitation period laid down in the Code;

4.1.3. Whether the information provided is relevant and whether it contributes to the fight against doping in sport;

4.1.4. Whether the information has been provided in good faith and for justified reasons;

4.1.5. The extent to which there is a likelihood of sufficient evidence to confirm the alleged violation;

4.1.6. Whether the information provided is sufficiently accurate;

4.1.7. Whether the potential risk to the safety and well-being of the confidential source or his/her family is greater than the importance of the information;

4.1.8. Whether there is a risk that the confidentiality of the source cannot be preserved, and the resulting investigations and/or proceedings require disclosure of the identity of the source of confidentiality.

4.2. The Bureau may also consider other circumstances when deciding whether to offer the status of whistleblower. If the status of the whistleblower is not granted, the informants shall be notified accordingly. In cases where the status of the whistleblower is not granted, cooperation between the Bureau and the informant may continue and all communication channels shall remain available.

5. Agreement on the granting of the status of whistleblower

5.1. The prospective whistleblower will be provided with a web-link to the Bureau's violation reporting procedure setting out the rights, obligations and protection relating to the whistleblower;

5.2. The following topics shall be discussed with the informant before granting the status of the whistleblower:

5.2.1. The rights and duties of the whistleblower;

5.2.2. Protection measures for the whistleblower;

5.2.3. Summary of the relationship between the whistleblower.

5.3. The Bureau will answer any questions or concerns regarding the Procedures or the violation proceedings;

5.4. Prior to granting the status of the whistleblower, the information referred to in article 5.2 of this procedure must be confirmed to the informant. This shall include written confirmation that it has received information on the information referred to in article 5.2 of this procedure and must be signed to respect the duties of the whistleblower, as well as any other requirements pursuant to article 5.2 of that procedure;

5.5. The approval referred to in article 5.4 of this procedure shall be kept securely in a folder of the Bureau's document management system with separate access only to the Director and expert of the Bureau.

6. Future communication

6.1. The bureau expert will work with the whistleblower to increase the amount of evidence during the investigation process. The expert of the Bureau will therefore continue to be available to obtain and assess any additional information on the violation. On the other hand, the whistleblower should be able to answer additional questions from the expert of the Bureau and any other requests for information;

6.2. In addition to the exchange of information, the expert of the Bureau will continue to be available to address all safety concerns related to the provision of information, as well as to provide advice to the whistleblower on best practices in the field of security and communication. The bureau expert will work with the whistleblower to ensure the protection of the identity and confidentiality of the whistleblower. The whistleblowers are encouraged to follow the instructions of the expert of the Bureau at all times.

7. Completion of the investigation and ongoing support:

7.1. If the Bureau's investigation is officially concluded, the expert of the Bureau shall provide the whistleblower with summary information on the investigation. The Bureau expert will provide answers to the whistleblower's questions and concerns about the end of the investigation. The Bureau committed to providing whistleblowers with support throughout the investigation process, including after the completion of the investigation.

7.2. Upon completion of the investigation, the Bureau shall be obliged to contact the person for whom information was provided and to inform him of the investigation as soon as possible

without compromising the integrity of the investigation or the investigation of the law enforcement authorities/other persons concerned. This is usually the case after an investigation has been completed.

Rights and responsibilities

1. The right of the informants shall be:

- 1.1. Protecting its identity and protecting against retaliation;
- 1.2. Request additional information to the Bureau before taking a decision on the provision of information;
- 1.3. Provide the Bureau with information on the alleged violation or provide any other relevant information through the Bureau's reporting channel;
- 1.4. To obtain confirmation of receipt of the information provided, if possible;
- 1.5. To receive substantial benefits when applicable;
- 1.6. Receive timely notification of the decision or have been granted the status of the whistleblower and, where possible, the reasons for the decision;
- 1.7. Participate in video conferences or face-to-face interviews, if necessary.

2. The responsibility of the informants shall be:

- 2.1. Make available, on a voluntary and reasonably informed basis, information on the violation;
- 2.2. Do not take any action or provide any information likely to expose the informant, his family or any third party to any damage, or to inform the Bureau without delay where the informant or another person is in danger or is at risk of retaliation caused by the communication of the informant with the Bureau;
- 2.3. Not to provide information or to provide further information which is malicious or knowingly false, as it may lead to an violation pursuant to Article 2.5 of the Code, "Tampering or Attempted Tampering with any Part of Doping Control by an Athlete or Other Person";
- 2.4. To provide accurate information to the Bureau and, if necessary or at the request of the Bureau, to specify the information or additional information which may be necessary.

3. Rights of the whistleblower:

- 3.1. In addition to the rights referred to in the information provider, the Whistleblower shall have additional rights:
 - 3.1.1. the protection of whistleblowers, awards, if applicable, as well as the provisions of the agreement regarding the granting of the status of whistleblower;
 - 3.1.2. To raise questions about any concerns related to the investigation process;
 - 3.1.3. To obtain information on the progress of the investigation process, on a case-by-case basis, where applicable;
 - 3.1.4. To obtain information on the final results of the information provided by the whistleblower, where the Bureau considers it possible;
 - 3.1.5. To obtain a summary of the investigation process, including information on possible sanctions, if applicable;
 - 3.1.6. Maintain communication with the Bureau following the completion of the investigation, in particular with regard to issues relating to identity protection;

3.1.7. Terminate the agreement on the granting of whistleblower status and lose rights, awards and protection related to the status of whistleblower.

4. Responsibility of the whistleblower

4.1. In addition to the responsibility assigned to the informant, the Whistleblower shall have additional responsibility:

4.1.1. Comply with the provisions of the agreement on the granting of whistleblower status;

4.1.2. Do not commit any anti-doping rule violation or any act or omission likely to threaten or harm investigations initiated or in the future;

4.1.3. Apply for authorization from the Bureau before intervening in any form of investigation;

4.1.4. Always strictly respect the confidentiality of the investigation (even after it has been completed) and take measures to protect his/her identity in accordance with the agreement on the granting of whistleblower status. If confidentiality is infringed, the agreement will be terminated immediately and the rights listed above will be lost.

5. Person for whom information is provided:

5.1. The person for whom the information is provided has the following rights:

5.1.1. Protect its identity until all necessary information has been obtained in order to prove that the violation has been committed and that the relevant follow-up action has not been taken;

5.1.2. To be considered innocent until it has been established that the violation has been committed (presumption of innocence).

6. The rights of the Bureau;

6.1. The Bureau, in conformity with the regulatory enactments in force, shall be entitled to:

6.1.1. Information received from a confidential source, including information and evidence, shall be transmitted to the anti-doping organisation authorised to impose sanctions on the person for whom information has been provided in accordance with the Code;

6.1.2. Where applicable, information received from a confidential source, including information and evidence provided, shall be transmitted to the relevant national and international law enforcement or other regulatory authorities;

6.1.3. To impose sanctions on a person who has improperly or knowingly provided false information in accordance with point 2.5 of the Code;

6.1.4. If necessary, ask for additional information from a confidential source, including virtual or face-to-face interviews. Requests authorisation from the Bureau before any intervention or any action relating to the ongoing investigation.;

6.1.5. Terminate the investigation process and terminate the agreement on the granting of the status of whistleblower if the whistleblower fails to fulfil the obligations imposed by the agreement.

7. Responsibility of the Bureau:

7.1. The Bureau shall be responsible for:

7.1.1. Develop the necessary documentation in order to comply with this Order on the basis of the right to provide information, including the protection of confidential sources and their award;

7.1.2. if the information obtained in accordance with this Procedures relates to another anti-doping organisation or other relevant person, advise the recipients of such information on the duties regarding such information, including their responsibility to protect the right of the parties to the disclosure;

7.1.3. Insert these arrangements and the procedures resulting therefrom in Latvian and English on the Bureau's home page in order to make them publicly available to the public;

7.1.4. Ensure that the expert (s) responsible by the Bureau possess the necessary professional knowledge and that he is given adequate discretion, independence, resources and training to enable them to carry out their duties effectively;

7.1.5. to establish a safe way of communicating with confidential sources;

7.1.6. Ensure that all information provided by confidential sources, whether electronically or physically, is safely stored.