

APPROVED:

At the 7<sup>th</sup> May 2021 meeting of the Management Board of the

Riga Maternity Hospital Ltd.

Protocol No. 12/2021

APPROVED:

By the decision of the 13<sup>th</sup> May 2021 meeting of Members of the

Riga Maternity Hospital Ltd.

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**THE WHISTLEBLOWING POLICY  
OF THE RIGA MATERNITY HOSPITAL LTD.**

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## TERMS USED

- *Maternity Hospital* - Riga Maternity Hospital Ltd., registration No. LV40003194600.
- *Employee* - any Employee of the Maternity Hospital.
- *Board* - the Management Board of the Maternity Hospital.
- *Policy* - The Whistleblowing Policy of the Maternity Hospital.
- *Whistleblower* - any natural person who provides information about a possible violation that may be detrimental to the public interest, if the individual believes the information to be true and it has been obtained in the course of providing a service, employment, internship or establishing a legal relationship related to the performance of work duties at the Maternity Hospital.
- *Law* - Whistleblowing Law. Adopted: 11 October 2018. Enters into force: 1 May 2019. Published in: Latvijas Vēstnesis, 210, 24 October 2018.
- *Whistleblowing* - submission of a Whistleblower's report in accordance with the procedure established by the normative acts. Deliberate provision of false information, disagreements or complaints of a personal nature shall not be considered Whistleblowing.
- *Whistleblowing Channel* - a reliable source for submitting information.
- *Whistleblower Protection* - prohibition to cause adverse consequences in case of Whistleblowing, to punish disciplinarily or otherwise, to dismiss from employment, to demote, to transfer to another position or to cause adverse consequences in any other way, directly or indirectly, to the Whistleblower.

## 1. THE OBJECTIVE OF THE POLICY

1.1. The Maternity Hospital Policy sets out the procedure for the implementation of the internal Whistleblowing Policy at the Maternity Hospital in accordance with the Law.

1.2. The purpose of the Policy is to ensure the effective operation of the Maternity Hospital's internal whistleblowing system, which would encourage staff to become involved in Whistleblowing about misconduct or illegal activities and to ensure that the Whistleblower is adequately protected.

1.3. The Policy is an essential element of the Maternity Hospital's corporate governance framework and an effective tool in the fight against corruption and other illegal activities, and thus the Maternity Hospital is committed to ensuring that the framework is managed in accordance with the legislation.

## 2. THE BASIC PRINCIPLES OF WHISTLEBLOWING AS SET OUT IN THE POLICY

2.1. Whistleblowing shall be governed by external laws and regulations and by carefully drafted internal normative documents of the Maternity Hospital, of which the staff shall be made aware. This guarantees an open, legal, and transparent Whistleblowing system. The Policy is binding on all Employees of the Maternity Hospital, including the Management Board.

2.2. The Policy is based on the fundamental principles of corporate governance such as the rule of law and transparency - in accordance with the requirements and scope of the regulatory framework. Adherence to these principles guarantees a fair, impartial and equitable treatment and high standards of legal responsibility and morality in all aspects related to Whistleblowing, transparency, and credibility to promote the sustainability of the Maternity Hospital.

2.3. The Maternity Hospital supports and encourages Whistleblowing in good faith, rather than discouraging it, through responsible, legal, and commercial practices consistent with good corporate governance principles in all areas of its activities.

2.4. A Whistleblower shall provide information about an alleged violation that may harm the public interest if the person believes the information to be true and it has been obtained in the course of their employment or through the establishment of a legal relationship related to the

performance of their job duties (performing specific work, including volunteer work, professional duties, or contract services at the Maternity Hospital).

2.5. A Whistleblower shall be entitled to raise an alarm in particular in respect of the following offences: inaction, negligence or abuse of office by public officers; corruption; fraud; embezzlement of public funds or property; tax evasion; risk to public health; risk to food safety; risk to construction safety; risk to environmental safety; risk to occupational safety; risk to public order; violation of human rights; violation of public procurement; violation in the financial sector; violation of competition law.

2.6. Whistleblowing shall only be carried out if the Whistleblower has facts or objectively verifiable information, and the person is prepared to lay out that information.

2.7. Deliberate false statements, disclosure of information containing state secrets and reporting only a personal interest violation shall not constitute Whistleblowing.

### 3. SUBMISSION AND INVESTIGATION OF A WHISTLEBLOWER REPORT

3.1. One of the following mechanisms shall be used to raise an alarm:

3.1.1. The internal Whistleblowing system via the internal website of the Maternity Hospital [dzintra.rdn.lv](http://dzintra.rdn.lv);

3.1.2. Turning to the competent authority in accordance with the provisions of the Law (external Whistleblowing). Channels for submitting Whistleblowers' reports to the competent institution:

- Special electronic (e-mail) address; [www.trauksmescelejs.lv](http://www.trauksmescelejs.lv) online reports.
- Mail.
- Mailbox on the premises of the institution.
- An application submitted in person (acceptance of an oral report).
- General channels of communication with the institution.

3.1.3. Whistleblowers' contact points - State Chancelleries or societies (associations) or foundations, including the Trade Union of Health and Social Care Employees of Latvia, including the labor organization of the Riga Maternity Hospital in accordance with the provisions of the Law.

3.2. The Whistleblower shall submit the report in accordance with Article 3 of the Law on Submissions and indicating that it is a Whistleblower's report. In the report, the Whistleblower

shall provide their name and surname, address and, if necessary, other contact information that will help to contact them and, if necessary, enable the State to protect them. In the Whistleblower's report, the person shall indicate the information at their disposal relating to the infringement, including a description of the infringement, mentioning specific facts, the natural or legal persons involved in the infringement; whether the information about the infringement was obtained in the context of work; and whether the infringement has been reported before.

3.3. If a person has made a submission without indicating that it is a Whistleblower report, the person may request and/or the President of the Maternity Hospital Management Board may initiate that the submission be recognized as a Whistleblower report while the substance of the submission has not yet been examined. In such a case, the report shall be examined as set out in this Whistleblowing Policy.

3.4. When the Maternity Hospital receives a submission from a person - it will be treated as a Whistleblower report, filed separately, and given the status of restricted access information subject to the protection requirements of the Freedom of Information Law. The President of the Management Board shall immediately, but not later than within 7 (seven) days, take a decision by way of a resolution to initiate the examination of the submission and shall designate the staff responsible for the execution of the decision.

3.5. If the received submission is not within the competence of the institution, it shall be forwarded for examination by jurisdiction within 10 days from the date of receipt. If the submission received falls within the competence of more than one institution, it may be examined jointly.

3.6. If an unsigned submission is received which is presented as a Whistleblower report, the President of the Maternity Hospital Management Board shall ask the person to sign the report - either electronically, or to submit a hand-signed report to the Maternity Hospital.

3.7. At the same time as asking the person to sign the report, the President of the Management Board of the Maternity Hospital shall explain to the person that an unsigned Whistleblower's report does not meet the requirements set out in the regulatory enactments and will be treated as an anonymous report.

3.8. The signature requirement does not apply to reports submitted by authenticating on the unified state and local government services portal [Latvija.lv](http://Latvija.lv), including via E-address.

3.9. A Whistleblower's report submitted anonymously shall be examined to the extent possible, in accordance with the content of the submission and when deciding on the measures to be taken in relation to it. In cases where the Whistleblower's report is submitted anonymously, the Whistleblower will be protected to the extent that the Maternity Hospital can provide. To receive the protections provided by the Whistleblowing Law, the identity of the Whistleblower must be included in the report.

3.10 Persons who are the subject of a Whistleblowing report, if they may be involved in the alleged misconduct identified in the Whistleblowing report, shall not participate in the consideration of the Whistleblowing report, and shall not make decisions about its investigation.

#### 4. WHISTLEBLOWER PROTECTION

4.1. The recipient of the report and all persons involved in the subsequent assessment of the report are obliged to protect the identity of the Whistleblower - name, surname, contact details and any other data that could allow to identify the Whistleblower - to protect the Whistleblower against any adverse consequences arising from the Whistleblowing.

4.2. The Whistleblower's personal data, the report, any written or physical evidence attached to it, documents and communications produced by the Committee, as well as related decisions and orders, shall have the status of restricted information.

4.3. A Whistleblower's report shall be dealt with by the Maternity Hospital in accordance with the procedure set out in Section 7 of the Whistleblowing Law, providing safeguards for the protection of the Whistleblower and their relatives in accordance with the Whistleblowing Law, which prevents any retaliation against Whistleblowers for making a report in good faith.

4.4. The Whistleblower and his relatives shall not be disciplined or otherwise punished, dismissed from their employment or position, demoted, transferred to another employment or position, or otherwise directly or indirectly adversely affected, solely because the Whistleblower has made a Whistleblower report. These protection requirements also apply in the case of Whistleblowing in external institutions or public channels.

4.5. Anyone who engages in retaliation may be subject to disciplinary sanctions or penalties, including reasonable dismissal.

4.6. Whistleblowers who have been subjected to retaliation may report them through the Whistleblowing Channel.

4.7. A Whistleblower is not exempt from possible sanctions if it is the Whistleblower who committed the offence.

## 5. FINAL QUESTIONS

5.1. To ensure the most effective application of the Policy, the Management Board shall, at least annually, review it and, where necessary, initiate relevant changes to the Policy.

5.2. The Policy shall be approved by the Management Board and the representative of the holder of capital shares at a meeting of the members of the Capital Company.

5.3. The Head of Human Resources shall inform each Employee of the Policy of the Maternity Hospital upon commencement of employment.

5.4 Employees shall be acquainted with the Policy in the manner prescribed by the Maternity Hospital. The Policy is available on the website of the Capital Company - [www.rdn.lv](http://www.rdn.lv)