

For internal reporting of violations and follow-up actions on them

Chapter 1: Basics

1. SUBJECT AND PURPOSE

- 1.1 These Rules for Internal Reporting of Violations and Follow-Up Actions of SZHS Bulgaria EOOD, for short /"Internal Rules"/, regulate the terms and conditions for organizing an internal channel for reporting violations, internal verification of received signals and the implementation of follow-up actions.
- 1.2 These Internal Rules aim to ensure the fulfillment of the requirements of the Law on the Protection of Persons Submitting Signals or Publicly Disclosing Information on Violations /ZZLPSPAIN/ and Directive (EU) 2019/1937 of the European Parliament and of the Council of October 23, 2019 on the protection of whistleblowers for violations of Union law.

2. FIELD OF APPLICATION

- 2.1 The internal rules are applied in relation to reports of violations of Bulgarian legislation or those specified in Part I of the Appendix to Art. 3, para. 1 and 3 of ZZLPSPAIN acts of the European Union, in accordance with the functions and powers of the Council for Electronic Media, in the following areas:
 - 2.1.1 Awarding of public contracts;
 - 2.1.2 Protection of privacy and personal data;
 - 2.1.3 The security of networks and information systems;
 - 2.1.4 Fraud and any other illegal activity that affects the financial interests of the European Union within the meaning of Art. 325 of the Treaty on the Functioning of the European Union;
 - 2.1.5 Committed crime of a general nature, about which the reporting person found out in connection with the performance of his work or in the performance of his official duties;
 - 2.1.6 The rules for payment of due public state receivables;
 - 2.1.7 Labor legislation;
 - 2.1.8 Legislation related to the performance of public service.
- 2.2 These Internal Rules do not cancel the rules of the current legislation, providing for other powers to check signals in the areas specified in Art. 2 areas.

3. PERSONS WHO CAN FILE REPORTS /WHISTLEBLOWING PERSON/

- 3.1 4 /1/ Reports of violations of the acts, according to Art. 2, may submit:
 - 3.1.1 The employees in the administration of SZHS Bulgaria EOOD, when the information became known to them during or on the occasion of the performance of their work or official duties.
 - 3.1.2 Persons working under the supervision and direction of contractors, subcontractors and suppliers of SZHS Bulgaria EOOD.
 - 3.1.3 A person who provides a service to SZHS Bulgaria EOOD without an employment relationship and/or within the scope of his free profession and/or craft activity;
 - 3.1.4 Volunteer or intern at SZHS Bulgaria EOOD;
 - 3.1.5 A job candidate who participated in a competition or other form of selection for employment at SZHS Bulgaria EOOD, received in this capacity information about a violation;
 - 3.1.6 A worker or employee of SZHS Bulgaria EOOD, when the information was received within the framework of an employment or service relationship that was terminated at the time of filing the report;
 - 3.1.7 Any other person who reports a violation that became known to him in a work context.
- 3.2 The identity of the whistleblower is not disclosed to anyone, except the responsible officer/s under Art. 5, para. 1 and para. 2, without the express written consent of that person. This also applies to any other information from which the whistleblower's identity can be known directly or indirectly.
- 3.3 The identity of the whistleblower and any other information from which his identity can be directly or indirectly known may only be disclosed for the purposes of investigations by national authorities or judicial proceedings, including with a view to guaranteeing the right of defense of the affected person.
- 3.4 If it is necessary to disclose the identity of the reporting person, in the sense of para. 3, the same shall be notified before disclosure. The notification shall be in writing and shall be motivated. The whistleblower is not notified when the investigation or legal proceedings are jeopardized.
- 3.5 No personal data is collected that is clearly not relevant for considering the specific signal, and if it is accidentally collected, it is deleted.

Chapter 2: Terms and conditions for internal submission of signals

1. OFFICER/S RESPONSIBLE FOR HANDLING REPORTS

- 1.1 The reception, registration and consideration of submitted reports of violations is carried out by an official from the administration of SZHS Bulgaria EOOD, designated by order of the Manager of SZHS Bulgaria EOOD /responsible person/;
 - 1.1.1 For each specific signal, at the proposal of the responsible person under para. 1, by order of the Manager of SZHS Bulgaria EOOD, a committee can be appointed to consider the signal.
 - 1.1.2 The responsible person / the members of the commission under para. 2/ sign a declaration of confidentiality, according to Appendix No. 1.
- 1.2 The responsible person is obliged to generate a Unique Identification Number (UIN) in the system of the national authority for external reporting / Commission for the protection of personal data/, which is to be used for the needs of registration of the submitted to SZHS Bulgaria EOOD signals.
 - 1.2.1 The responsible person is obliged to submit the necessary statistical information to the national body for external whistleblowing according to the procedure established by it.
 - 1.2.2 The responsible person is obliged to provide the persons wishing to report clear and easily accessible information about the procedures for external reporting to the competent national authority, and when appropriate - to the institutions, bodies, offices and agencies of the European Union.

2. QUEUE FOR REPORTING SIGNALS

- 2.1 Reports of violations are submitted in writing or orally to the responsible person.
- 2.2 Written reports are submitted by filling in a sample form, according to Appendix No. 2.
 - 2.2.1 Written reports can be submitted:
 - a) Personally, to the responsible person;
 - b) By mail or by courier to the management address of SZHS Bulgaria EOOD - Sofia 1784, Tsarigradsko Shosse Blvd. No. 115 G, BC Megapark, Floor 6, Office "C", addressed to be received personally by the person responsible for submission of signals under ZZLPSPAIN. Only the responsible person has access to the contents of the postal / courier package addressed in the manner described in the previous sentence;
 - c) By e-mail accessible only by the responsible person;
 - 2.2.2 Written reports are signed by the persons submitting them. When submitted electronically, the form is signed with a qualified electronic signature.
- 2.3 Verbal reports are submitted by telephone or by meeting the responsible person in person.

- 2.4 Signals are submitted to a telephone number to which only the responsible person answers.
 - 2.4.1 The responsible person is obliged to establish the identity of the person reporting by telephone.
 - 2.4.2 When submitting a report according to the above order, the responsible person may request the consent of the reporting person to have the conversation recorded, and if such is given, the following shall be done:
 - a) a recording of the conversation on a durable and retrievable medium or
 - b) a complete and accurate text of the conversation, reproduced in writing, prepared by the responsible person,
 - 2.4.3 The responsible person documents the reported report by filling out a form according to the model, according to Art. 8, para. 1 / Appendix No. 2/, giving the reporting person the opportunity to check, correct and agree with the text of the conversation in writing, as well as with the content of the form by signing them.
- 2.5 The submission of a verbal report through a personal meeting is carried out at the request of the reporting person, within an appropriate period agreed with the responsible person.
 - 2.5.1 The meeting may be documented by recording the conversation on a durable and retrievable medium, with the express consent of the whistleblower.
 - 2.5.2 The responsible person fills out a form according to the model, according to Art. 8, para. 1 /Appendix No. 2/, giving the reporting person the opportunity to check, correct and agree with the text of the conversation in writing, as well as with the content of the form by signing them.

3. QUEUE TO RECEIVE SIGNALS

- 3.1 After receiving the written report, and in the case of verbal reporting, at the beginning of the conversation, the responsible person performs a check to establish the identity of the reporting person.
 - 3.1.1 In the event that the sender of the written report is anonymous or the person who submits a report by telephone and in a personal meeting does not wish to identify himself /anonymous report/, the responsible person does not initiate proceedings for consideration of the report.
 - 3.1.2 Proceedings are also not instituted when reports are filed that refer to violations committed more than two years ago.
- 3.2 Upon receipt of a written report, the responsible person shall check compliance of the report, according to the required content and details of the form under Art. 8, para. 1 /Appendix No. 2/:
 - a) the sender's three names, address and phone number, as well as an email address, if any;
 - b) the names of the person against whom the report is filed and his workplace, if the report is filed against specific persons and they are known;

- c) specific data about a violation or about a real danger that such a violation will be committed;
 - d) place and period of committing the violation, if it was committed;
 - e) description of the act or the situation and other circumstances, insofar as such are known to the reporting person;
 - f) date of submission of the signal;
 - g) signature, electronic signature or other identification of the sender.
- 3.2.1 If the signal does not meet the requirements, the responsible person sends the reporting person a message to eliminate the admitted irregularities within 7 days of receiving the signal. If the irregularities are not corrected within this period, the report together with the attachments to it is returned to the reporting person.
- 3.2.2 The responsible person checks the credibility of the signal. Signals that:
- a) They do not fall within the scope of ZZLPSPDIN and Art. 2 of these Internal Rules;
 - b) The content of which does not give reasons to be considered plausible.
- 3.3 Signals that contain manifestly false or misleading statements of fact are returned with an instruction to the sender to correct the statements and the responsibility he bears for persuasion.

Chapter 3: Internal process of production

1. WORKING WITH SIGNALS. INTERNAL INSPECTION

- 1.1 The received report is registered by the responsible person in the Register of Reports of Violations, according to Art. 28 of the current Internal Rules.
- 1.1.1 Within 7 days after receiving the signal, the responsible person sends a message to the reporting person to confirm receipt.
 - 1.1.2 Together with the confirmation, the whistleblower is provided with information about the procedure for external whistleblowing to the national body for external whistleblowing /Personal Data Protection Commission/, and when appropriate - to the institutions, bodies, services or agencies of the Union.
- 1.2 All documents on paper / incl. paper copies of electronic documents related to the reported signal/ and electronic media are stored by the responsible person under the conditions and in accordance with Chapter Four, Section II of these Internal Rules.
- 1.3 The person in charge immediately reports to the Manager of SZHS Bulgaria EOOD every registered signal.
- 1.3.1 In the event of a conflict of interests of the responsible person and the report submitted to him, the Manager of SZHS Bulgaria EOOD appoints by order another official to consider the report.

- 1.3.2 In case of factual complexity of the signal or other circumstances, at the discretion of the responsible person, with the report under para. 1, a motivated request can be made to appoint a committee to consider the report, according to Art. 5, para. 2 of the present Internal Rules.
- 1.4 The responsible person / the Commission, in the cases under Art. 16, paragraph 3/undertakes actions to review the report in order to assess the accuracy of the statements presented in the report and, as appropriate, to treat the reported violation.
- 1.4.1 Within the framework of the internal investigation of the report, actions such as an internal survey, collection of additional documents, obtaining additional information from persons named in the report by the whistle-blower, as well as others, may be carried out at the discretion of the responsible person / the Commission /.
 - 1.4.2 The responsible person /Commission/ maintains contact with the reporting person, and if necessary requires additional information from him and from third parties.
 - 1.4.3 All actions performed within the framework of the internal inspection are recorded.
- 1.5 The responsible person /Commission/ notifies the person against whom a report was filed /the affected person/, giving him the opportunity to present and indicate new evidence to be collected in the course of the inspection.
- 1.5.1 The responsible person /Commission/ is obliged to invite and listen to the affected person, to accept his written explanations and to collect and evaluate the evidence indicated by him.
 - 1.5.2 All evidence collected during the inspection is presented to the affected person and he is given the opportunity to object to it within 7 days, subject to the protection of the reporting person and non-disclosure of his identity.
- 1.6 In the event that the facts presented in the report are not confirmed, the responsible person /Commission/ shall report in writing to the chairman of the CEM the information from the report, the actions taken, the final results of the investigation of the report.
- 1.6.1 Information on the results of the performed inspection is sent to the whistleblower and the affected person, subject to the obligation to protect them.
- 1.7 When, in the course of the inspection, the exported data are confirmed, the responsible person /Commission/:
- a) Organizes the taking of follow-up actions in relation to the report, and for this purpose may require the assistance of other persons or units in the structure of SZHS Bulgaria EOOD with a motivated report to the Manager of SZHS Bulgaria EOOD, who issues an order for the designation of the specified persons;

- b) Proposes to the manager of szhs bulgaria eood specific measures with the aim of stopping or preventing the violation in cases where it has been established or there is a real danger of its imminent commission;
 - c) Directs the whistleblower to the competent authorities when his rights are affected;
 - d) Forwards the report to the commission for the protection of personal data if it is necessary to take action on his part, notifying the whistleblower in advance of the forwarding.
- 1.7.1 In the event that the report is filed against the Manager of the reporting person, the responsible person directs the person to simultaneously report to the external reporting authority.
- 1.8 The responsible person /Commission/ submits to the Manager of SZHS Bulgaria EOOD a report with the information from the signal, the actions taken during the examination of the signal, the final results of the check on the signal, the actions performed and the proposals under Art. 20 of these Internal Rules, as well as all documents collected during the inspection.
- 1.8.1 The report is submitted, according to paragraph 1, in compliance with the obligation to protect the whistleblower and the affected person and not reveal their identity.
- 1.9 Within three months after confirming the receipt of the signal, the responsible person /Commission/ sends feedback to the sender of the signal, indicating the actions taken and the results of the inspection.

2. FOLLOW UP

- 2.1 After receiving the report under Art. 21 of the present Internal Rules, the Manager of SZHS Bulgaria EOOD undertakes follow-up actions on the report.
- 2.1.1 Based on the information contained in the report and the measures proposed by the responsible person /Commission/, according to Art. 20, para. 1, b. "b" of these Internal Rules, the Manager of SZHS Bulgaria EOOD takes actions within his competence to stop the violation or to prevent it if it has not started.
- 2.1.2 In the case of multiple reports of more serious violations, consideration of the same is prioritized according to predetermined criteria and rules, in accordance with the methodological instructions of the Commission for the Protection of Personal Data.
- 2.2 The manager of SZHS Bulgaria EOOD terminates the inspection with a reasoned order when the violation for which the report was filed is a minor case and does not require the taking of additional follow-up actions.
- 2.2.1 Termination under para. 1 does not affect other obligations or applicable procedures in relation to the violation for which a report was filed, nor the protection under ZZLPSPAIN with regard to internal or external reporting

- 2.3 The inspection shall also be terminated in the case of a repeated signal that does not contain new information of essential importance for a violation in respect of which an inspection has already been completed, unless new legal or factual circumstances justify the taking of subsequent actions
- 2.4 When, in the course of the inspection, data on a committed crime is established, the report and the materials to it are sent immediately to the prosecutor's office
- 2.5 As a result of the performed follow-up actions, an individual report is prepared, which briefly describes the information from the signal, the actions taken, the final results of the check on the signal
- 2.5.1 The results of the performed inspection, together with the reasons, are communicated to the whistleblower and the affected person, subject to the obligation to protect them
- 2.5.2 In cases where the inspection is terminated on the basis of Art. 24 or Art. 25 of the present Internal Rules, the whistleblower is notified that he can file a report with the national body for external whistleblowing

Chapter 4: Signal register. Storage and provision of information

1. SIGNAL LOG LINE

- 1.1 The responsible person maintains a register of reports of violations. The register is not public.
- 1.2 The register is kept according to a model, according to Appendix No. 3 to these Internal Rules.
- 1.3 Information is entered in the register for each received signal as follows:
- a) the person who received the signal;
 - b) the date of submission of the signal;
 - c) the affected person, if such information is contained in the report;
 - d) summary data on the alleged violation, such as place and period of commission of the violation, description of the act and other circumstances under which it was committed;
 - e) the connection of the transmitted signal with other signals after its establishment in the signal processing process;
 - f) information provided as feedback to the person who filed the report and the date of its provision;
 - g) the follow-up actions taken;
 - h) the results of the check on the signal;
 - i) the signal storage period.
- 1.4 The register is maintained in electronic form and stored in a way that guarantees the confidentiality, integrity and security of the information.
- 1.5 The responsible person regularly submits the necessary statistical information to the national body for external whistleblowing according to the procedure established by it.

2. CONDITIONS AND PROCEDURE FOR STORING INFORMATION

- 2.1 All information related to a reported violation is recorded and stored on a permanent medium for the needs of the investigation of the report and for further investigations.
- 2.2 All paper documents related to the submitted report are stored by the responsible person in accordance with the personal data protection measures of SZHS Bulgaria EOOD, in a way that guarantees that the identity of the reporting person and any other person, indicated in the alert will be properly protected.
 - a) When copying an electronic document on paper, it is signed by the responsible person on each page, indicating the date of creation of the copy
 - b) Documents on electronic media created by the responsible person within the scope of the inspection, including when taking an electronic image of documents on paper, are signed with the responsible person's electronic signature and stored in accordance with the Internal Rules for Network and Information Security and measures to protect the personal data of SZHS Bulgaria EOOD
 - c) The responsible person takes all necessary additional measures to limit the access of unauthorized persons to the report, the documents attached to it, as well as information and documents collected during the review of the report and subsequent actions
- 2.3 All documents related to a violation report are stored for a period of 5 years, starting from the date of receipt of the report, subject to compliance with the obligations of confidentiality of information and protection of the whistleblower and the affected person.

3. PROVIDING INFORMATION ABOUT THE TERMS AND CONDITIONS FOR FILING REPORTS

- 3.1 These Internal Rules are published in a separate section on the website of SZHS Bulgaria EOOD (www.sgs.bg), and the whistle-blowing form - Appendix No. 3 to these Internal Rules - is also published in the same place.

Final provisions

- These Internal Rules have been approved by order of the Manager of SZHS Bulgaria EOOD dated 12.01.2023, on the basis of Art. 13 of the Law on the Protection of Persons Reporting or Publicly Disclosing Information on Violations /ZLPSPDIN/ and Art. 9 of Directive (EU) 2019/1937 of the European Parliament and of the Council of 23 October 2019 on the protection of persons who report violations of Union law
- The present Internal Rules are kept up-to-date through a review at least once every three years and an analysis of the practice of implementing the AZLPSPDIN
- The provisions of the Act on the Protection of Persons Submitting Whistleblowers or Publicly Disclosing Information on Violations /ORDER No. 1 of 27.07.2023 on keeping the register of reports under Art. 18 of the Personal Data Protection Act and for forwarding internal reports to the Commission for the Protection of Personal Data, Methodological Guidelines of the Personal Data Protection Commission for the implementation of the Personal Data Protection Act and other relevant acts
- These Internal Rules enter into force on 17.12.2023
- An integral part of these Internal Rules are:
 - Appendix No. 1 / Declaration of confidentiality;
 - Appendix No. 2 / Form for submission/registration of reports of violations;
 - Appendix No. 3 / Register of reports of violations;

When you need to be sure

Whistleblowing contacts:

Address for mail/courier or personal contact: Sofia 1784, Tsarigradsko Shosse Blvd.
115 G, BC Megapark, floor 6, office "C"

Responsible person: Георги Валентинов Панайотов
e-mail: georgi.panayotov@sgs.com
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