

Confidential Reporting Protocol

THE ATHLETICS INTEGRITY UNIT ("THE AIU") FIRST FLOOR, 6 QUAI
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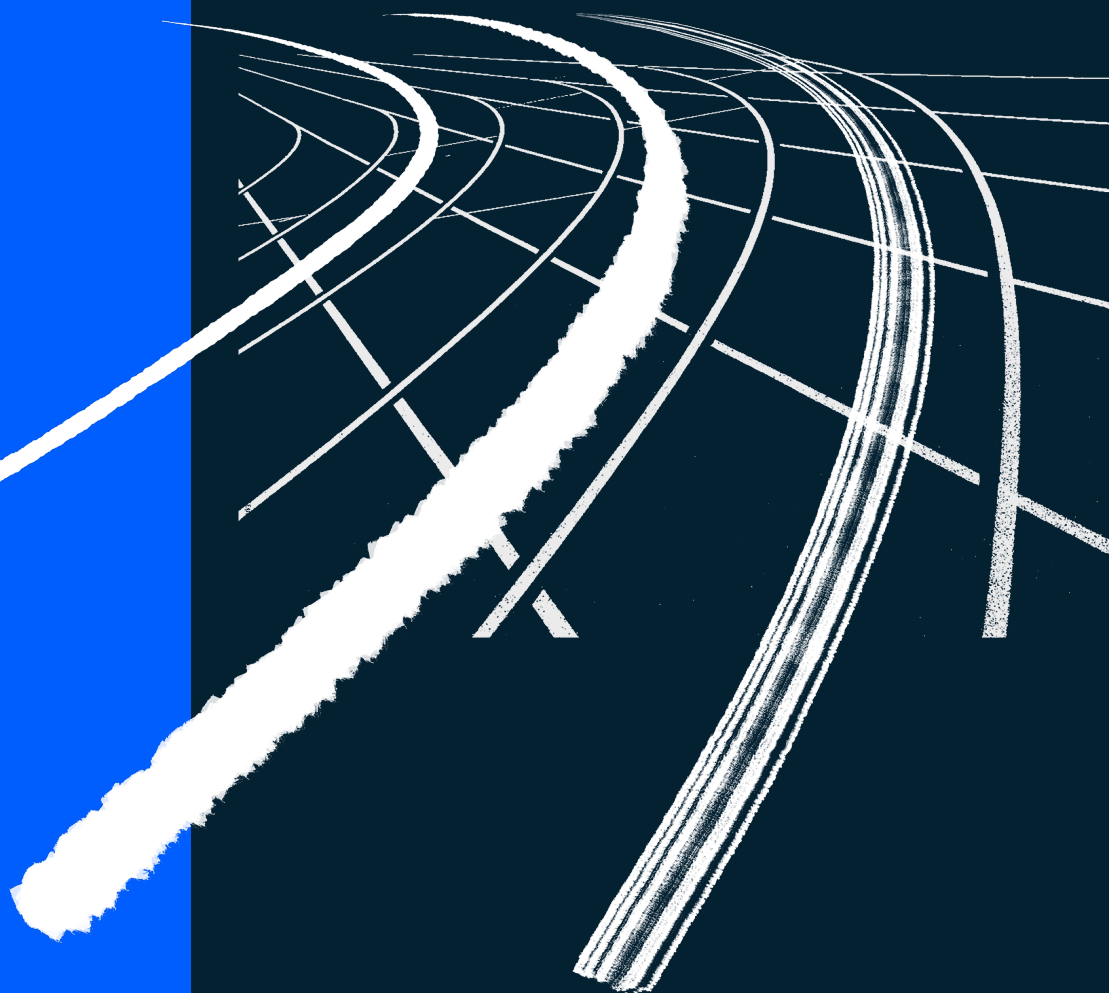


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1. INTRODUCTION

- 1.1 The role of the Athletics Integrity Unit (AIU) is to safeguard the authenticity and integrity of Athletics and to take all possible measures to eliminate corrupt conduct that might place the authenticity or integrity of Athletics at risk¹. The AIU fights against all forms of ethical misconduct within Athletics, for example, potential violations of the World Athletics (WA) Anti-Doping Rules (ADRs), the WA Integrity Code of Conduct (ICC) and the WA Safeguarding Rules.
- 1.2 The purpose of the AIU's work is to protect athletes' right to a clean, fair and safe environment by deterring and catching those individuals who commit breaches of the WA ADRs, WA ICC and/or WA Safeguarding Rules). While anti-doping testing remains an integral element of any anti-doping program, it alone is insufficient for establishing the full range of anti-doping rule violations (ADRVs) or other breaches of the WA ICC and/or WA Safeguarding Rules.
- 1.3 As the global anti-doping system has matured, ADRVs have been increasingly uncovered on the basis of intelligence and investigative activities, and all of the AIU's other integrity cases remain underpinned by intelligence and investigative activities. Confidential Reporting has been, and will continue to be, a critical part of any sports integrity body's ability to achieve their core functions. Under the World Anti-Doping Code (the Code) and the World Anti-Doping Agency's (WADA) International Standard for Testing and Investigations, Anti-Doping Organisations (ADOs), such as the AIU on behalf of WA, must have the capability to obtain, assess and process anti-doping intelligence from all available sources, for example via a confidential hotline.
- 1.4 In order to support and advance the work of the AIU, a suite of Confidential Reporting platforms has been established by the AIU to encourage and support individuals who wish to raise integrity concerns in the sport of Athletics. It should be noted that the AIU operates independently of WA and therefore, the AIU is under no obligation to report the identity of anyone reporting to the AIU via our Confidential Reporting platform to WA.
- 1.5 The AIU strongly encourages individuals with any integrity concerns to come forward in order to help the AIU protect the authenticity and integrity of Athletics.

2. SCOPE

- 2.1 This Confidential Reporting Protocol (the Protocol) has been developed to inform individuals who are considering reporting confidentially to the AIU, guide the work of AIU Intelligence and Investigations Department staff in receiving and responding to

¹ World Athletics Integrity Code of Conduct (2023); World Athletics Anti-Doping Rules (2025).

Confidential Reporting, and maintain compliance with the Code, relevant WADA International Standards and applicable laws.

- 2.2 The AIU focuses on integrity concerns in international-level Athletics. Any information submitted to the AIU via this platform that relates to national-level Athletics, or areas outside of the AIU's jurisdiction under the WA ADRs, WA ICC and/or WA Safeguarding Rules, may be transmitted to other relevant bodies, such as other ADOs, WADA, law enforcement and/or public authorities as relevant and/or required.
- 2.3 Protecting the identities of individuals who report confidentially to the AIU is a core tenet of the AIU's operations. Unless prior written consent is given to the AIU, or where required by law, any information that identifies or has the potential to identify the individual who provided the reporting to the AIU will not be transmitted outside of the AIU.
- 2.4 This Protocol outlines who may report what information to the AIU, how this information will be handled securely by AIU Intelligence and Investigations Departments staff only, and the rights and obligations of individuals who elect to report to the AIU via our Confidential Reporting platforms.

3. WHO AND WHAT CAN BE REPORTED

- 3.1.1 Any individual can submit a Confidential Report to the AIU via the platforms. This includes, but is not limited to, athletes, coaches, medical personnel, referees, technical officials, federation officials, athlete representatives, doping control personnel, media, athletics fans and the general public.
- 3.1.2 Anyone who has information that may be relevant to a potential breach of the WA ADRs, WA ICC and/or WA Safeguarding Rules is encouraged to report it to the AIU.
- 3.1.3 Information can be reported related to any area of integrity concerns as it relates to international-level Athletics. If there is a concern about national-level Athletics, which includes the suspected involvement, collusion and/or complicity of federation and/or other national officials, these concerns should also be reported to the AIU.
- 3.1.4 While not exhaustive, below is a list of potential integrity concerns that can be reported to the AIU:
 - Doping
 - Use of prohibited substances and/or methods
 - Possession or trafficking of prohibited substances
 - Administration of prohibited substances and/or methods
 - Suspicious whereabouts, performances and/or behaviours
 - Tampering through the fabrication or falsification of evidence and/or procuring false testimony from third parties

- Acts to discourage or retaliate against reporting concerns to authorities
 - Prohibited association with individuals currently under sanction
 - Violation of the prohibition against participation during (sanction) ineligibility
 - Complicity in any of the above
 - Manipulation of performances and/or competition results
 - Age manipulation
 - Financial fraud
 - Betting in the sport of Athletics
 - Technical cheating
 - Fraudulent transfers of allegiance
 - Harassment, exploitation and abuse, including of a sexual nature
- 3.1.5 All information, regardless of how small or insignificant it may seem, should be reported to the AIU, as it could be critical to the AIU's investigations. It is important that all information is reported to the AIU, in as much detail as possible. The AIU's Confidential Reporting platforms allow for the upload of files, and as such any available evidence, such as documents, photos, videos, audio files, etc, should be provided.
- 3.1.6 The information provided is not required to be definitive proof of a violation of the WA ADRs, WA ICC and/or WA Safeguarding Rules. The responsibility for establishing that a violation has occurred lies with the AIU.
- 3.1.7 The AIU strongly encourages individuals submitting a Confidential Report through the platforms to facilitate two-way communication with AIU Intelligence and Investigations Department staff, by using the anonymous WhatsApp or email functionality, providing their contact details or regularly checking their Confidential Inbox within the platform if using the reporting form functionality.

4. HOW TO REPORT

- 4.1 The AIU utilises confidential and encrypted platforms for reporting information. These platforms are developed and managed by RealResponse, an industry-leading provider of international compliance solutions. Anyone wishing to report integrity concerns to the AIU, can do so via the 'MAKE A REPORT' button at the top-right of any page on the AIU website, or by accessing the anonymous communication platforms by scanning relevant QR codes.
- 4.2 The AIU strongly encourages everyone to provide direct contact details when reporting their information. This will enable the AIU Intelligence and Investigations Department to contact them directly to seek further/clarifying information, better understand the reported concerns, and provide feedback when appropriate. This enables two-way communication via the preferred method of communication.

- 4.3 If individuals reporting do not wish to provide their contact details, they may remain anonymous through the anonymous WhatsApp or email functionality, or through the Confidential Inbox within the reporting form functionality, while still enabling two-way communication. In the example of the Confidential Inbox of the reporting form, the individual reporting may select to receive notifications when the AIU responds, or select to not receive notifications when a new message is sent from the AIU. The AIU strongly encourages individuals reporting who wish to remain anonymous to nevertheless select this notification function. The platform is secure and AIU Intelligence and Investigations officers are not able to access any identifying or contact details provided by individuals reporting – including for notifications – unless the individual chooses. In the event the individual reporting elects not to receive notifications, they should regularly and proactively check the Confidential Inbox for AIU contact or follow up.

5. PROCESSING OF CONFIDENTIAL REPORTING

- 5.1 The AIU will collect and process Confidential Reporting using procedures that ensure the confidentiality of the individual reporting, and the safe handling of the information received, as well as actioning and disclosing the information only for the purposes of legitimate interests pursued by the AIU to ensure the integrity of the sport of Athletics.
- 5.2 The procedures used by the AIU are in accordance with the WADA International Standard for the Protection of Privacy and Personal Information and other applicable data protection laws. For more information, please refer to the AIU's Privacy Policy on the AIU website.
- 5.3 Confidentiality is the core tenet of AIU intelligence and investigations activity. Confidential Reports are processed only by AIU Intelligence and Investigations Department staff with extensive training and experience in managing confidential information and whose paramount priority is the protection of the individuals reporting to the AIU. Whether the reporting individual remains anonymous or provides contact details, their identity will not be shared outside of the AIU Intelligence and Investigations Department, except where required by law or with prior written consent.
- 5.4 Once received, Confidential Reporting to the AIU will be processed according to the following steps:
- Acknowledgement of receipt (where possible) within three (3) business days
 - Assessment of information, as far as possible, for the veracity, reliability, accuracy, plausibility, and sourcing of the information
 - Reporting of the information within the AIU's secure intelligence database and investigative case management system
 - When relevant, contact the reporting individual to seek further information, context or details

- Analysis of the information against other holdings, of the AIU and partner agencies when relevant, to put the information within the overall context, towards developing it into actionable intelligence
- Actioning of the information, which may include any of the following:
 - No further action
 - Dissemination to the relevant AIU internal partner
 - Dissemination to the relevant external partner
 - Opening of an AIU investigative enquiry and/or investigation

6. DISSEMINATION OUTSIDE OF THE AIU

- 6.1 As noted above, should the AIU consider Confidential Reporting of direct relevance to another ADO, WADA, law enforcement or a public authority, the AIU may disseminate this information to the relevant body, ensuring no information that may identify the reporting individual is disseminated.
- 6.2 Should the AIU deem that the information to be passed could identify the reporting individual, the AIU will first seek prior written approval from the reporting individual before disclosing the information. The AIU may also seek prior written approval to pass the identity and/or contact details of the reporting individual to a relevant agency so that the receiving agency can effectively act on the Confidential Reporting. In the event this occurs, the AIU will pass the reporting individual's identity/contact details via a separate and secure means to the Confidential Reporting itself.
- 6.3 The AIU will not pass any Confidential Reporting, or the identity/contact details of individuals reporting, to any organisation subject to the allegations, or to which the AIU has integrity or confidentiality concerns.
- 6.4 As an exception to the above, if the AIU is required by law or other regulation, such as the Code, to pass on Confidential Reporting which may identify the reporting individual, and/or the identity/contact details of the reporting individual, the AIU will seek to inform the reporting individual in writing, where possible, as soon as practical that this dissemination is required.
- 6.5 In the unlikely event that the AIU establishes that a Confidential Report has been submitted with malicious intent and/or contains knowingly false information, the confidentiality and identity protections under this Protocol are forfeited. In this instance, when deemed appropriate by the AIU, the identity of the reporting individual will be disclosed to relevant third parties with a need to know, along with contextual information. This information will be shared to prevent partner agencies from pursuing false or misleading information. To the extent possible and appropriate, the AIU will inform the reporting individual of this action in writing.

7. RIGHTS OF INDIVIDUALS REPORTING TO THE AIU

7.1 CONFIDENTIALITY

- 7.1.1 All Confidential Reporting received by the AIU will remain confidential, insofar as it will only be distributed in a sanitised manner to those who need to know the information to undertake any actions related to its purpose.
- 7.1.2 The identity of any individual reporting to the AIU will only be known to AIU Intelligence and Investigations Department staff with extensive training and experience in managing confidential information (with the exceptions noted in section 6 above).

7.2 SUBSTANTIAL ASSISTANCE

- 7.2.1 Should someone providing Confidential Reporting to the AIU be facing one or more ADRVs or breaches of the WA ICC, they may be eligible for benefits under Substantial Assistance or a Case Resolution Agreement, as detailed in Rules 10.7.1 and 10.8.2 of the WA ADRs and Rule 14.2.2 of the WA Disciplinary and Appeals Tribunal Rules respectively.

7.3 PHYSICAL PROTECTION

- 7.3.1 The AIU cannot provide anyone providing Confidential Reporting, or their family/associates, with physical safety protection, on account of not being an authority charged under relevant legislation with such powers/capabilities. However, the AIU will endeavour to provide assistance in this regard, by raising concerns directly with relevant law enforcement bodies when necessary.
- 7.3.2 As an exception to section 6 above, if the AIU Intelligence and Investigations Department staff, in their professional opinion, assess that a real and time-sensitive physical safety threat exists, they will share the identity and contact details of the reporting individual with relevant agencies to prioritise the physical safety and well-being of the individual. In this instance, the AIU will seek to limit the circle of knowledge of the identity as much as possible and will inform the reporting individual as soon as practical, noting the AIU would not seek the reporting individual's prior consent, in order to prioritise physical safety.

7.4 FINANCIAL ASSISTANCE

- 7.4.1 While the AIU acknowledges that information from Confidential Reporting has proven critical in uncovering threats to the integrity of all sports and strongly encourages the raising of concerns directly with the AIU, the AIU takes a conservative approach to considering any financial assistance to individuals providing Confidential Reporting to the AIU. This is done to protect the integrity of Confidential Reporting mechanisms and subsequent investigative actions.
- 7.4.2 However, the AIU may, in exceptional circumstances, consider the provision of financial assistance to individuals providing Confidential Reporting to the AIU. Financial assistance would be considered on a case-by-case basis, taking into consideration factors such as the value and impact of the information provided, the reliability, honesty and responsiveness of the individual providing the reporting, the personal and financial

circumstances of the reporting individual, and the AIU's internal resourcing and prioritisation situation.

7.4.3 In the event financial assistance is considered, a decision would be made by the AIU Senior Management group.

7.4.4 Where the Confidential Reporting provided enabled other agencies to achieve investigative outcomes, the AIU may seek to encourage such agencies to also consider financial assistance under their own specific conditions and policy considerations.

7.5 LEGAL ADVICE AND COUNSELLING

7.5.1 The AIU may, where deemed appropriate by the AIU, recommend external legal advisors to individuals providing Confidential Reporting to the AIU, insofar as legal advice is deemed to be necessary and directly related to the Confidential Reporting itself. The AIU may, at their sole discretion, assist in bearing the costs of such external legal advice, under section 7.4 above, however, as a general principle, the costs associated with external legal advice would be borne by the individual providing the Confidential Reporting.

7.5.2 Similarly, should the AIU and/or the individual providing the Confidential Reporting identify that counselling support would be appropriate, the AIU may assist in identifying and recommending appropriate practitioners for the individual. The AIU may, at their sole discretion, assist in bearing the costs of such counselling support, under section 7.4 above, however, as a general principle, the costs associated with the counselling would be borne by the individual providing the Confidential Reporting.

7.6 ACTS TO DISCOURAGE OR RETALIATE AGAINST REPORTING

7.6.1 The safety and security of individuals who provide Confidential Reporting to the AIU remain the AIU's primary concern. Any act that threatens or seeks to intimidate anyone in relation to their reporting, or intended reporting, of integrity concerns to the AIU should be immediately reported to the AIU.

7.6.2 These acts may constitute an ADRV under Rules 2.11 and/or 2.5 of the WA ADRs and/or a breach of Rule 5.5 of the WA ICC, and if deemed appropriate, the AIU will vigorously pursue any allegations of conduct of this nature.

8. OBLIGATIONS OF INDIVIDUALS REPORTING TO THE AIU

8.1 By submitting Confidential Reporting to the AIU, individuals agree not to knowingly provide false or misleading information.

8.2 By submitting Confidential Reporting to the AIU, individuals agree not to impersonate another person or entity when submitting an initial report or during follow-up contact with

the AIU, including names, contact details, or other potentially identifying personal information.

- 8.3 By submitting Confidential Reporting to the AIU, individuals expressly confirm that the information provided is true and accurate to the best of their knowledge and reasonable belief.
- 8.4 Knowingly providing false and/or misleading information, including seeking to impersonate another person or entity, may amount to an ADRV and/or breach of the WA ICC, and the AIU will take any and all action to pursue these concerns when identified. Please refer to section 6.5 above.