

# Balloon Whistleblowing Policy

## Background

Balloon is committed to openness and accountability, and ensuring that our programmes are conducted in the safest manner possible and staff are protected. Though we already have policies and procedures to help ensure this, we also understand that sometimes extra levels of diligence are needed. The Whistleblowing Policy allows confidential reporting of serious issues and for these to be handled accordingly.

## Definition

For the purpose of this policy, Whistleblowing refers to reporting of misconduct, illegal acts or failures of working practice by an individual whose identity will remain confidential and who shall not be penalised for airing their concerns.

## Principles of Whistleblowing

The following principles apply to Whistleblowing:

- You are protected by law if you are a worker or volunteer of Balloon when disclosing an issue under the Whistleblowing Policy;
- Balloon will not victimize those who report issues;
- In all instances, Balloon will maintain your anonymity, and only inform those who need to know about the issue;
- All issues raised to Balloon are taken seriously and followed up on;
- Where appropriate, Balloon will involve outside stakeholders to comply with our legal obligations.

## What Should You Report

You should report the following:

- You suspect a criminal offence has been committed, or is likely to be committed;
- Balloon as a company is breaking the law, either through its acts or through its staff;
- You suspect financial misconduct;
- Where someone's health, safety or security are in danger and current interventions have not been satisfactory;
- Balloon's activities pose a risk to others or the environment, or are being conducted in an unethical manner;
- Attempts to cover up any of the above.



# Balloon Whistleblowing Procedure

## Background

The procedure for making a disclosure (report) under the Whistleblowing policy is the same for staff, volunteers and external stakeholders. It is kept simple and straight forward to encourage reporting of Whistleblowing issues.

## Procedure

Email any of the following board members:

- [doug@balloonventures.com](mailto:doug@balloonventures.com)
- [josh@balloonventures.com](mailto:josh@balloonventures.com)
- [melinda@balloonventures.com](mailto:melinda@balloonventures.com)

Ensure that you title the email subject 'Whistleblowing', so that it can be given priority and kept confidential.

In the email, detail the below:

- Your name and position;
- The issue you are reporting, with pertinent details;
- Who is linked to the disclosure;
- Who knows about the issue.

You will be contacted for more information where necessary.

## Once a Report is Made

Once a disclosure is made under the Whistleblowing Policy, the following will happen:

### Stage 1: Assessment

An assessment will be made on whether the issue is relevant to the Whistleblowing Policy. If not, you will be informed of where you should direct the issue.

### Stage 2: Internal Investigation

An investigation will be triggered internally, involving the required people, though kept to a minimum (i.e. only those who need to know to resolve the issue). In some cases, external parties will be brought in to provide evidence or support. This stage will be completed within 3-weeks of the report being made, unless otherwise communicated.

### Stage 3: Resolution

A resolution will be decided upon, shared with the relevant people (included the whistle-blower where appropriate), and implemented.

### Stage 4: Follow-Up

The impact of the resolution will be evaluated and the Whistleblowing Procedure reviewed based on lessons from the case.



The whistleblowing party will be supported thoroughly and confidentially throughout.

**Please note: The Whistleblowing Policy is not to be used for general grievances that do not require confidentiality. For issues of this sort, please refer to our Complaints Policy which is available in the footer on every page of our website.**

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