

Balloon Anti-Fraud, Bribery and Corruption Policy and Guidelines

Balloon promotes a culture of honesty and integrity, and totally opposes any form of fraud, bribery or corruption. Fraud, bribery and corruption impact disproportionately on the poor and the most vulnerable people in the world. Such criminal activities divert resources from our intended beneficiaries; they increase the costs of basic services; and undermine economic growth. Such actions are a barrier to poverty alleviation and good governance.

This document should be read alongside other documents which outline details of other criminal practices we may come across in our work and how we deal with them.

Scope

This policy applies to all staff, volunteers and anyone who acts in our name. We also require businesses we work with and support to abide by the policy. All staff, volunteers and businesses sign a code of conduct which commits them to work to this policy.

Details are shared with staff and volunteers as part of induction training and with businesses at due diligence stage and the prior to signing the contract to support them.

Purpose

The purpose of the Balloon Anti-Fraud, Bribery and Corruption Policy is to provide clear definitions of what we mean by fraud, bribery and corruption. It is also a definitive statement to everyone associated with Balloon - making clear that we will not tolerate fraudulent or corrupt activities, and the giving or receiving of bribes.

This policy summarises the responsibilities of all Balloon staff and Board members to adhere to and uphold Balloon position on fraud, bribery and corruption.

Reporting

Everyone in the organisation or associated with Balloon has a part to play in detecting and preventing criminal practices.

Any breach or suspected breach should be reported to the COO Doug Cochrane via the whistleblowing helpline.

Any incident reported will be investigated within the timeframe in the whistleblowing policy.

Definitions

Balloon will uphold all laws relevant to countering bribery and corruption in all the jurisdictions in which we work, including the UK Bribery Act 2010 (the Act), which applies to conduct both in the UK and globally.

Fraud and theft

There is no legal definition for fraud; it is a blanket term for:

- theft
 - forgery
 - false accounting
 - deception (e.g. misrepresentation of qualifications to obtain employment)
 - embezzlement
 - corruption
- Intellectual property theft (e.g. the unauthorised use of a brand name or logo, or the theft or misuse of visitor or customer data).

What is Bribery & Corruption?

Bribery and corruption have a range of definitions in law. The following is a plain language guide:

Bribery: The offering, promising, giving, accepting or soliciting of money, gifts or other advantages in exchange for doing something illegal or breaching an employer's trust.

Corruption: The abuse of entrusted power or influence for private gain.

The following are some examples of attempted bribery:

- A potential supplier offers money or a gift to influence a procurement/tender process.
- A job applicant offers payment or a gift to increase his/her chances of being hired.
- A gift (e.g. excessive hospitality) offered to a local official in return for approving a proposal.
- A potential or actual beneficiary offers a payment in return for allowing him/her or their family to be given something to which they are not entitled.
- A government official asks for a payment to secure a registration.
- A customs official asks for an unofficial payment or gift to release good

What is a Facilitation Payment?

The final two bullets above could be examples of facilitation payments, which are usually a bribe in the form of a small, unofficial payment. It is made to secure or expedite the performance of a routine or necessary action to which the person making the payment has legal or other entitlement, e.g. an unofficial payment made to a border guard/officer in return for a speedier crossing.

Kickbacks?

Kickbacks are typically payments made in return for a business favour or advantage.

Payments under Duress?

Payments made under duress are in response to demands accompanied by threats to life, limb or liberty.

It is permissible for a payment to be made in the rare and exceptional circumstances where it is believed necessary to protect against loss of life, limb or liberty (except in the case of lawful detention). If possible, the circumstances and proposed payment should be discussed in advance with a line manager. In all such cases an incident report must be submitted.

What is not acceptable?

It is not acceptable for anyone to:

- give, promise to give, or offer, a payment, gift, hospitality or other incentive, with the expectation or hope that a business advantage will be received, or to reward a business advantage already given;
- give, promise to give, or offer, a payment, gift, hospitality or other incentive to a government official, agent or representative to "facilitate" or expedite a routine procedure;
- accept payment or incentive from another organisation or individual where it is known or suspected that it is offered with the expectation that it will provide an advantage for them;
- accept a gift or hospitality where it is known or suspected that it is offered or provided with an expectation that an advantage will be provided by Balloon in return;
- threaten or retaliate anyone who has refused to commit a bribery offence or who has raised concerns under this policy; or engage in any activity that might lead to a breach of this policy.

Gifts and hospitality

This policy does not prohibit normal and appropriate gifts and hospitality (given and received) unless otherwise specifically stated. However, the principles set out in Balloon's Gifts and Hospitality policy should be followed.

Preventing criminal activity

Criminal activity can successfully be minimised by insuring:

- proper systems are in place.
- proper management and financial controls are in place.
- proper compliance with agreed procedures takes place.

Balloon has put in place the following actions to prevent and detect criminal practices:

- Due diligence – appropriate integrity and accountability checks that Balloon carries out
- Written agreement – Balloon will ensure there is a written agreement which requires contractors/sub-contractors/partners to comply with Balloon's policies on: preventing criminal practices, procurement, safeguarding, equal opportunities, anti-slavery and human trafficking, but not limited to these.
- Regular reporting and audits.

- Finance – appropriate policies and procedures are in place including:
 - Suitable financial record keeping.
 - Dual authorisation
 - Set approval levels of expenditure.
- Procurement processes which staff must follow.
- Recruitment and selection processes which include checks and references.
- Training for all new starters.
- Reporting - Suspicions of criminal activity should be reported in line with Balloon's Whistleblowing Policy. These will then be reported to the police or other relevant body.
- Clear codes of conduct for staff, volunteers and anyone who acts in our name and businesses we support.
- Donations, contributions, voluntary services and/or any assistance will not be accepted where it is known or reasonably suspected that they involve or are related in any way to an act of bribery or corruption and/or contravene this policy in any way and/or appear in any way linked to deliberate, unethical conduct.
- Unsolicited donations will not be accepted until /unless verified.

Related policies.

- Safeguarding and Child protection
- Whistleblowing
- Anti-Bullying
- Code of Conduct
- Modern Slavery and Human Trafficking
- Sexual Harassment and Assault
- Equal Opportunities and Diversity
- Health and Safety.

Reviews

All documents are reviewed annually at the same time

Policies apply to the Balloon group of companies

Last Annual Update December 2019