1 Introduction

1.1 This Whistleblower Policy reinforces Good Return’s intention to identify wrongdoing that might not be uncovered unless there is a safe and secure means whereby staff, volunteers, contractors & partners (Disclosers) can have the confidence to speak up about any concerns they might have, knowing it will be addressed promptly and confidentially, without fear of recrimination or exclusion.

1.2 Further, not only do we encourage the open dialogue mentioned above, but we also require all staff members to report instances of wrongdoing as soon as they become aware of any.

2 Practice

2.1 If a person (the Discloser) in Good Return who is either a staff member or a volunteer honestly and reasonably believes that another staff member, volunteer, director or member:

• is failing to meet Good Return’s governance criteria (for example, but not exclusively, by conduct which is in breach of Good Return’s obligations under its AFSL, under any of its fundraising licences, under the ACFID Code of Conduct, or under its staff Code of Conduct) or
• is otherwise conducting themselves in a fashion which is reasonably likely to bring Good Return into disrepute (for example, through the consumption of illegal drugs in the workplace, bullying or other disrespectful or sexual misconduct towards colleagues) then that Discloser is required to notify either the Appropriate Responsible Person (ARP) within Good Return of that belief and the reasons for it, or to make their concerns known to a relevant regulator (whether ASIC, AUSTRAC, ACNC, or any State regulator, dependent on the precise nature of their concern).

2.2 Under this Whistleblower Policy, Good Return specifically consents to any Discloser as described above disclosing information or providing documents to such a regulator relating to the Discloser’s reasons for holding their belief.

3 Types of Wrongdoing

• illegal conduct such as theft, dealing in, or use of, illicit drugs, violence or threatened violence, and criminal damage against property;
• conduct which comes within the terms of Good Return’s Prevention of Sexual Exploitation and Harassment policy;
• fraud, money laundering, terrorism financing, or misappropriation of funds;
• offering or accepting a bribe;
• financial irregularities;
• failure to comply with, or breach of, legal or regulatory requirements; and
• engaging in or threatening to engage in detrimental conduct against a person who has made a disclosure or is believed or suspected to have made, or be planning to make a disclosure.

3.1 Disclosable matters can include conduct that may not involve a particular law. Information that indicates a significant risk to public safety can be a disclosable matter; also the stability of or confidence in the financial system, even if it does not involve a breach of a particular law.

3.2 A Discloser can still qualify for protection even if the disclosable matter turns out to be incorrect, provided their belief was honestly and reasonably held.

3.3 Disclosures relating solely to Personal work-related grievances do not qualify for protection under this Policy.

4 Definitions Applying to this Policy

Appropriate responsible person within Good Return (ARP): The CEO and/or the Chairperson of the Board of Directors. The Compliance Adviser would normally be involved unless the complaint is about, or directly concerns him/her.

Whistleblower Investigation Officer: The role under the organisation’s Whistleblower policy that is responsible for investigating disclosures, usually the Compliance Adviser.

Detrimental conduct: Conduct, or a threat to engage in conduct, that causes detriment to a Discloser

Disclosable matter: Information to which the whistleblower protections apply

Discloser: An individual who discloses wrongdoing, or an eligible whistleblower

Disclosures qualifying for protection: Disclosures pertaining to tax matters are referred to as ‘disclosures qualifying for protection’

Eligible recipient: An individual who can receive a disclosure

Eligible Whistleblower

Most people who have a connection with Good Return and who may be in a position to observe or be affected by misconduct and may face reprisals by reporting it. This can include

• current or former employees of the company, directors and officers,
• paid or unpaid contractors or their employees or volunteers who have supplied goods or services to Good Return
• any associate of Good Return, usually a person with whom they would act in concert
• a trustee, custodian or investment manager or a superannuation entity, or an officer, employee. or a goods or service provider to a trustee, custodian, investment manager, or spouse, relative or dependant of one of the people referred to above.

While one of these roles must be held or been held to access the protections, there is no obligation for the Whistleblower to identify oneself or one’s role, also the concerns can be raised anonymously.

Personal work-related grievance: A disclosure that relates to the discloser’s current or former employment, which has implications for the discloser personally, but does not

• have any other significant implications for the entity, or
• relate to conduct or alleged conduct, about a disclosable matter.

Public Interest Disclosure: The disclosure of information to a journalist or a parliamentarian, where the Discloser has reasonable grounds to believe that making a further disclosure of the information is in the public interest.

Whistleblower: A Discloser who has made a disclosure that qualifies for protection under the Corporations Act.
Whistleblower Policy

Whistleblower Investigation Officer: The role under the organisation’s Whistleblower policy that is responsible for investigating disclosures, usually the Compliance Advisor. See also Appropriate Responsible Person

Whistleblower Protection Officer: The role under the organisation’s Whistleblower policy that is responsible for protecting or safeguarding Disclosers and ensuring the integrity of the reporting mechanism.

5 Whistleblower Protections
If a person in Good Return believes she or he is a whistleblower with information about misconduct or potential breaches of the law within their organisation, then she or he accesses the whistleblower rights and protections when they report or disclose their concerns.

• The whistleblower can request that they keep their identity, or information likely to lead to their identification, confidential.
• Good Return will not disclose their identity or the information to be disclosed without their consent. If for some reason their identity or their information needs to be disclosed they will be consulted before any action can be taken.
• A whistleblower is protected against certain legal actions related to making the disclosure, such as civil litigation or administrative action - all subject to any incidents of misconduct on the part of the whistleblower.
• Good Return will not cause or threaten detriment to any person because they believe or suspect that the person has made, may have made, or could make a whistleblower disclosure.

Detriment: A person may be causing you detriment if they:
• dismiss you from your employment
• injure you in your employment
• alter your position or duties to your disadvantage
• discriminate between you and other employees of the same employer
• harass or intimidate you
• harm or injure you, including causing you psychological harm
• damage your property
• damage your reputation
• damage your business or financial position
• cause you any other damage

5.2 Compensation:
You can seek compensation through a court if you suffer loss, damage or injury for making your disclosure.

6 Disclosure in Practice
This whistleblower policy requires that Good Return and its directors shall take all reasonable steps to ensure that no person making such disclosures in good faith - the Discloser - is subject to, or threatened with, a Detriment because of any notification made in terms of this policy.

Neither Good Return, its directors, senior officers nor agents will constrain, impede, restrict or discourage, whether by confidentiality clauses, policies or other means, any concerned person from disclosing information or providing documents to a Regulator about the matters referred to above under ‘Types of Wrongdoing’.

6.1 Who can receive a disclosure?
Depending on circumstances, a Discloser can report her or his concerns to any Good Return ARP, or other person who has been authorised to receive whistleblower reports, including:
• the organisation’s auditor
• legal practitioners
• regulatory bodies and other external parties; and
• (under certain circumstances) journalists and members of parliament

6.2 How to make a disclosure
It is highly desirable and encouraged for a potential Discloser to first approach the Good Return ARP with the Discloser's concerns and to expect immediate attention to the grievance or problem. Before making any disclosure, the intended Discloser must be given a designated person to contact for additional information regarding their concern before making a disclosure, and how to make that disclosure, by reference to this policy.
Disclosures can be made anonymously, confidentially, securely and outside of business hours. Disclosures even when made anonymously can still be provided whistleblower protections.

7 Acting on any disclosure
On receipt of a report from a Discloser, the Whistleblower Protection Officer will determine, in conjunction with legal advisers if necessary,
• the best way ahead to ensure that facts of the matter are properly established
• the extent of any wrongful conduct and its ramifications for Good Return are fully determined
• the privacy of the Discloser is maintained throughout the investigative process
• any requirement on the part of Good Return to notify relevant regulatory authorities.

The investigative process will be conducted with utmost confidentiality and respect for the privacy of the Discloser, and all enquiries will be documented and stored in a secure place subject to limited access. Any member of staff to whom the matter relates will not have access to that secure place.

The process of investigating, responding, recording information, and remedying whistleblower cases will follow the procedures set out below.

Upon receipt of the disclosure, the designated investigating official (ARP) will make formal contact with the Discloser within five business days or such other time that is reasonably practical. The parties will then determine the time and location for further contact that would best suit the Discloser's comfort and protection.

If all the relevant information (being any information that, in the reasonable opinion of the ARP is required to further investigate the matter) has not been received from the Discloser, then the ARP will communicate with the Discloser, specifying what further information is required and the time frames proposed.

The ARP will access any other sources for additional information if required that cannot or should not be sought from the Discloser.

Where, after 10 working days or other agreed period, no response for further information has been received from the Discloser by the ARP, the ARP will send a follow-up communication advising that no further action can be taken until all relevant information is provided.

When the ARP is satisfied that all information necessary to fully investigate the disclosure has been received, a determination will be made as to whether
• it qualifies for protection; and
• a formal, in-depth investigation is required.

The Discloser will be kept apprised of the progress and outcome of any investigation on the matters disclosed and will be provided with all necessary access and advice to the relevant provisions and protections under the Whistleblower Policy.

8 Transparency
Good Return shall ensure that this policy is appropriately publicised internally and externally, including on its website.