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The five checks when speaking up

cisi.org/speakup



SEE

The first step is becoming aware of something you believe needs to be raised. Consider the questions; what has happened/is occurring? Has there been/is there the potential for wrongdoing?

PREPARE

The next step is to thoroughly prepare. It is advisable to make sure you are aware of your firm's speak up policy, seek advice where appropriate and keep a record of notes and emails.

EVALUATE

Using the knowledge you have gained through your preparation, and the advice you have sought, you should evaluate what is taking place in order to fully understand the situation. Who is the best person to approach? In which form should you raise your concern?

ACT

After evaluating the situation, and if you feel it is necessary, you should then act. Report the issue to the appropriate person and use your firm's established process where possible.

KEEP TRYING

Possibly the most important step is to keep trying. Having followed the earlier steps, if you feel your concerns are not being addressed, you may wish to consider pursuing them at a higher level. Re-evaluation of the situation, and, if necessary, further preparation, are important every time you raise the reporting level.



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The four steps to speak up

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1

INTERNAL

2

3

EXTERNAL

4

'Informal' disclosure

- Approach the wrongdoer
- Speak to a trusted colleague
- Informally raise the issue with line manager/HR

'Formal' disclosure

- Follow internal speak up procedures
- Formally raise the issue with line manager/compliance/senior management

Disclose to a regulator

- FCA or PRA whistleblowing hotline
- Professional body (depending on profession)

Public disclosure

- The media
- The Government
- The internet

SEEK GUIDANCE