The digital version of

SPI4 Alinus

Getting Started with SPI online - Step by Step

August 2020

❶ Create your account

Go to
spi.cerise-spm.org

1 Organization's name

Refers to the organization you work for. If you are independent, note "Independent"

2 Entity Type

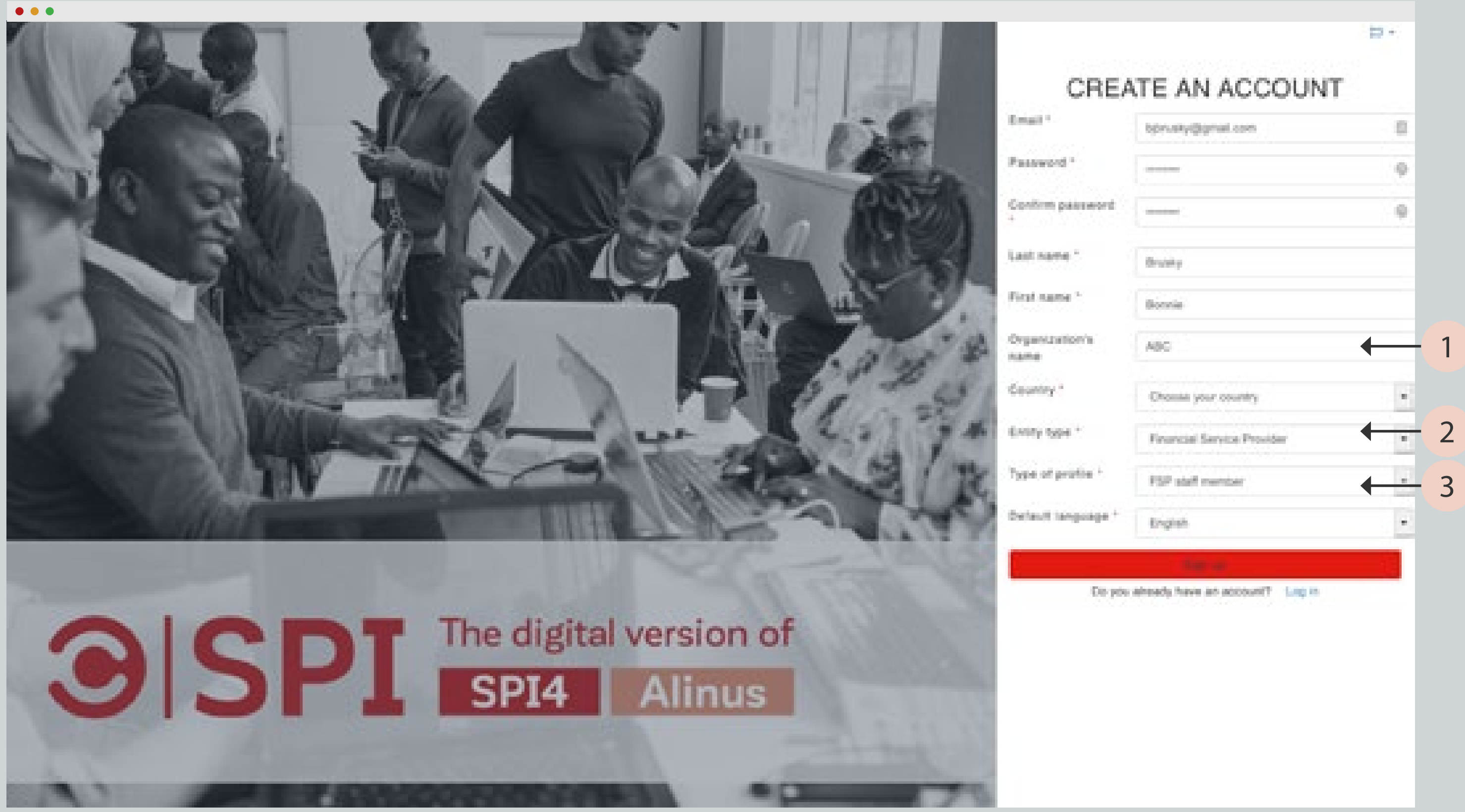
Refers to the type of organization

3 Type of profile

►Select FSP staff member if you are employee of an FSP

►Select External auditor If you are a rater, an investor, or an auditor working for an organization

►Select External auditor – consultant if you are an independent auditor, which means you are not working for an organization with other staff members. (Even if you have your own company, you are still considered a External auditor – consultant)



If you are the first member of your organization to create an account on SPI online, then you automatically become the Focal point of your organization.

Did you get an Error message that your email is already used or your organization created? Click here to find out what to do.

Focal point

The Focal point is the first member of an organization to create an account on SPI online. As a Focal point, you have two responsibilities:

►You are the only user able to edit your organization's information (country, name)

►You are the only user able to add members to your organization, i.e., associate co-workers to your organization. Co-workers you add will receive an invitation to create an account by email. These co-workers cannot automatically see your audits. Adding a co-worker simply facilitates their account

❷ Create a new audit

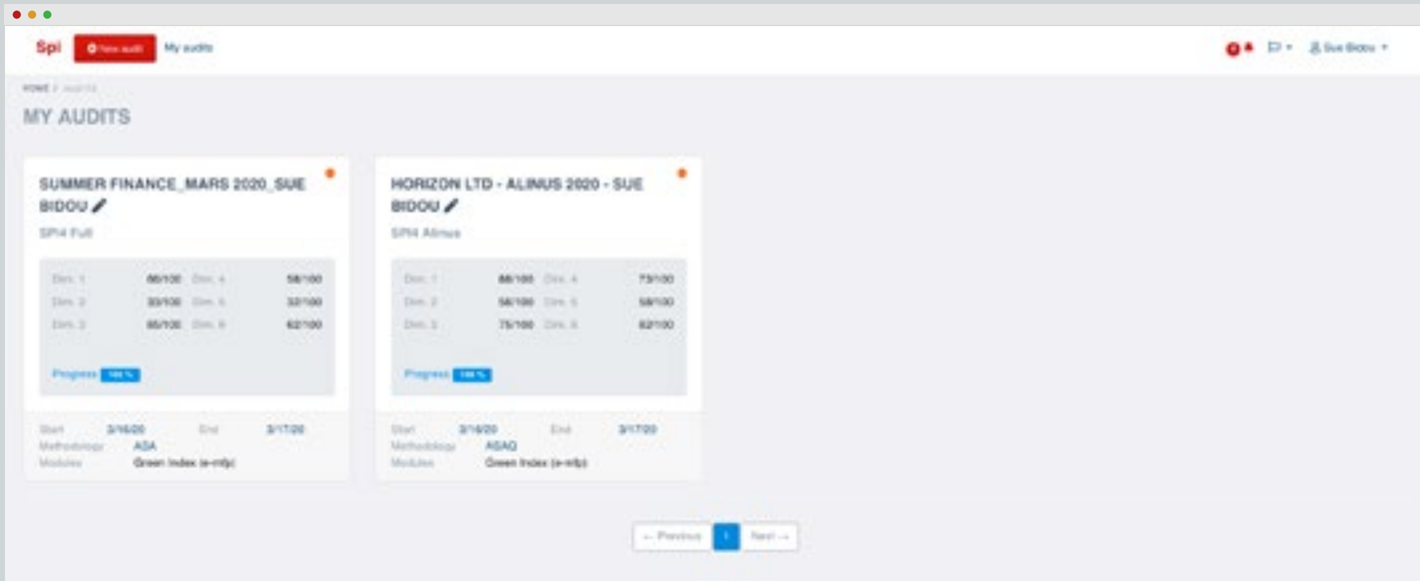
"My audits" page

The "My audits" page is the first page that you see when you log in.
It is usually empty the first time you log in.

Once you start conducting online audits, the "My audits" page will be populated with all the audits that you create, as well as any audits you have been invited to.

"My audits" page with audits

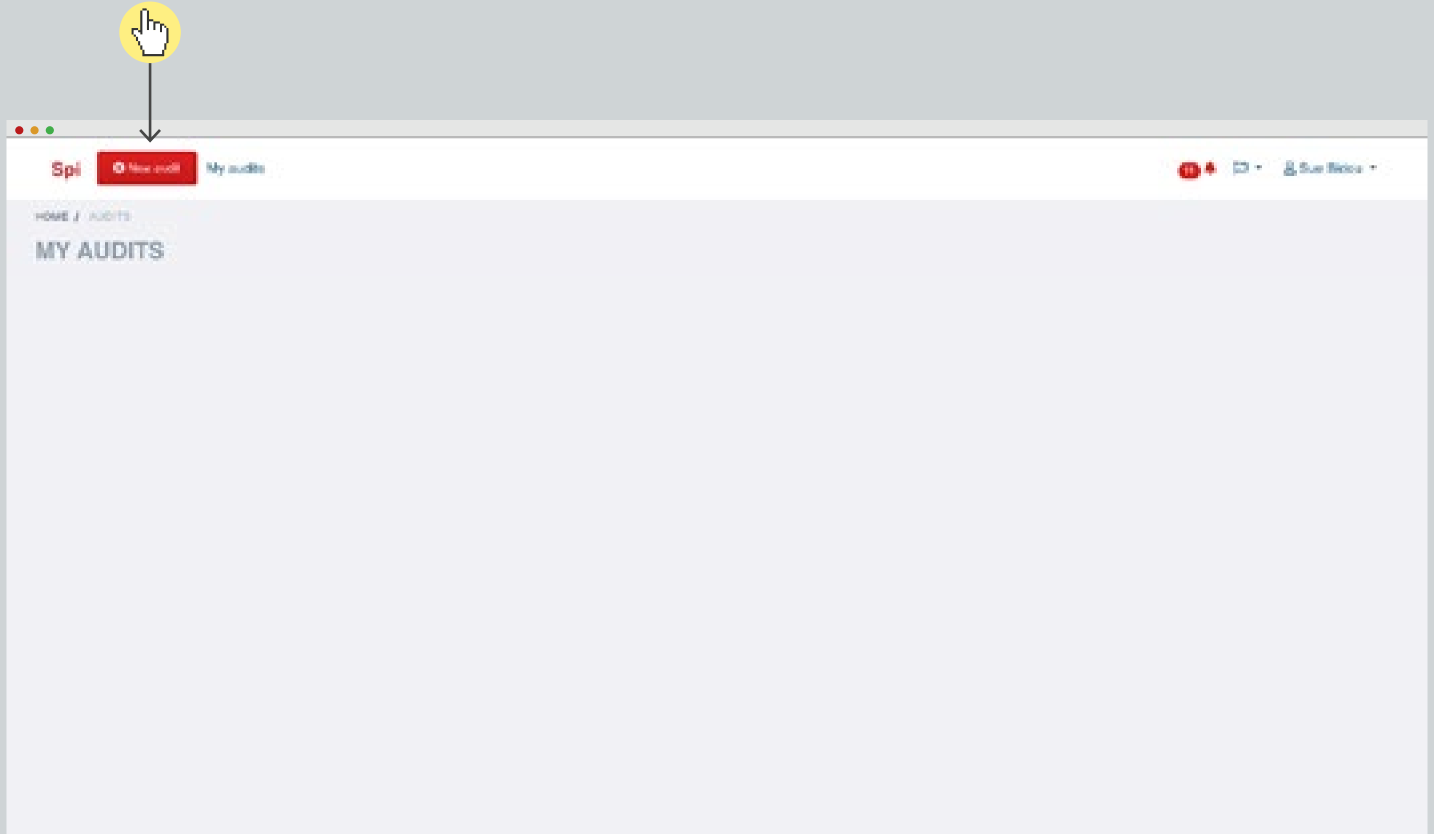
If the page is not empty, it means that CERISE has imported your past audits into SPI online, or that you have already conducted or been invited to an audit. The most recent audits will show first - from left to right.



❷ Create a new audit

Click on New audit at the top left of the "My audits" page to create a new audit

When you create an audit, you become the Owner of this audit.



Owner

The person who creates an audit is the Owner of the audit.

The Owner is the only user able to edit audit settings and manage sharing permissions, i.e., invite people to VIEW or MODIFY the audit.

Owners can edit audit settings any time during the audit process, by clicking on Settings on the audit page.

Owners are the only users able to delete an audit, provided it has not been finished. If you do not see settings on the audit page, it means you are not the Owner.

❷ Create a new audit

Fill in the Settings page and then click on Start online to start auditing

1 Information about the audit

We suggest that you name your audit like this: [Name of audited FSP – YEAR– Name of auditor or auditor's organization]. It will help you navigate among your audits. The name of the Focal point will be automatically filled in if someone from the FSP already has a SPI account.

2 Methodology

ASA= Accompanied Self-Assessment: the FSP is accompanied by an external auditor.
ASAQ= Accompanied Self-Assessment by Qualified Auditor (see auditor list).
SA= Self-Assessment: the FSP is audited by a FSP staff member.

3 Share your audit

Check box to give VIEW access to members of the audited organization who already have a SPI account. If they don't have an account, the Focal point for the FSP must add them as members.

Invite people to MODIFY the audit (i.e., invite others to contribute to the audit, such as FSP staff members, colleagues from your organization, external partners, etc.).

4 Type of assessment

SPI4 Full or ALINUS (the sub-set of SPI4 for investor due diligence and reporting).

IMPORTANT!
You will not be able to change Type of assessment after you start the audit.

5 Additional modules

You can add the optional module Green Index (automatically activated if you choose Alinus)

6 Authorizations

By using SPI you allow CERISE to store your data automatically, safely and confidentially through CERISE's server OVH, based in France.

CERISE will only use your data with your authorization.
Check the first box, and you authorize CERISE to use your data to build the benchmarks that appear on the results page when you complete your audit.
If you do not authorize CERISE to use your data, then CERISE will not review your audit and your audit will not be integrated to CERISE's database.

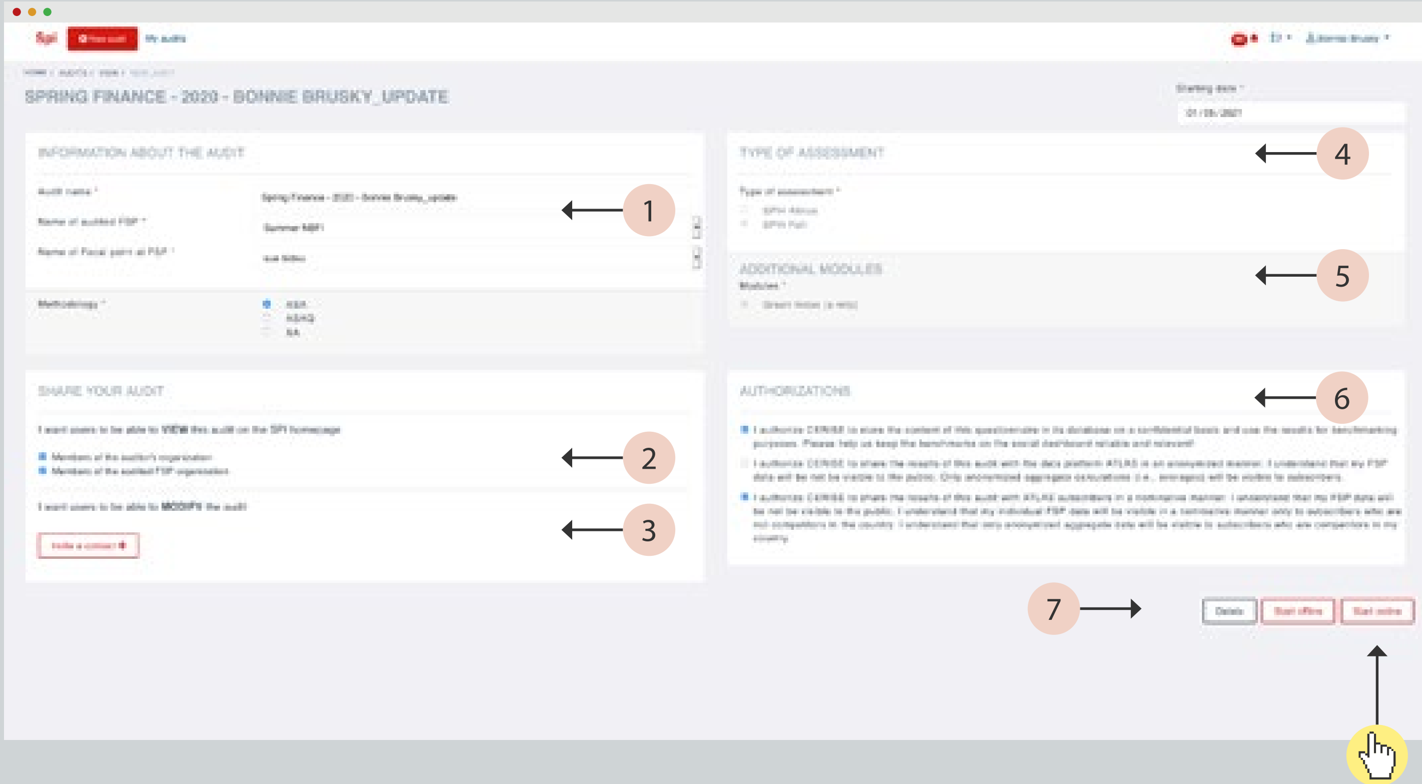
IMPORTANT!
This box must be checked in the current version of SPI for reasons relating to the General Data Protection Regulation in Europe. If you do NOT want your data to be used for benchmarking, contact CERISE at cerise@cerise-spm.org.

CERISE will only share your data with your authorization.
Check the second box, and you authorize CERISE to share your data in an anonymized manner with ATLAS, the data platform by MicroFinanza Rating. If you check this option, individual data will not be publicly available or visible. Only anonymized aggregate averages will be visible to ATLAS subscribers.

Check the third box, and you you authorize CERISE to share your data with ATLAS in an nominative manner. This means that ATLAS subscribers can see the scores by dimension of the audited FSP.

7 Start offline

If you are not sure you will have Internet access during the audit process, you can choose to Start offline



❸ Complete your audit online

Fill in the differents sections

1 Organization Information

Basic quantitative data on the audited financial service provider.

2 SPI4 Full or SPI4 ALINUS

Qualitative indicators that assess social practices.

3 Green Index

Qualitative indicators that assess environmental practices.

▶If type of assessment is FULL, Green section will only appear if you selected it as additional module

▶If type of assessment is ALINUS, Green section will automatically appear

(i) Organization Information section

A Section

Navigate from one section to the next by clicking on each section.

B Progress

Progress is a percentage showing how much of the section has been completed.

IMPORTANT!
To finish your audit, you must answer 100% of the mandatory questions (designated with *).

C Flag indicators

Click to flag indicators, so you can filter the ones you want to come back to or invite colleagues to answer.

D Filter indicators

Filter indicators that are mandatory or flagged.

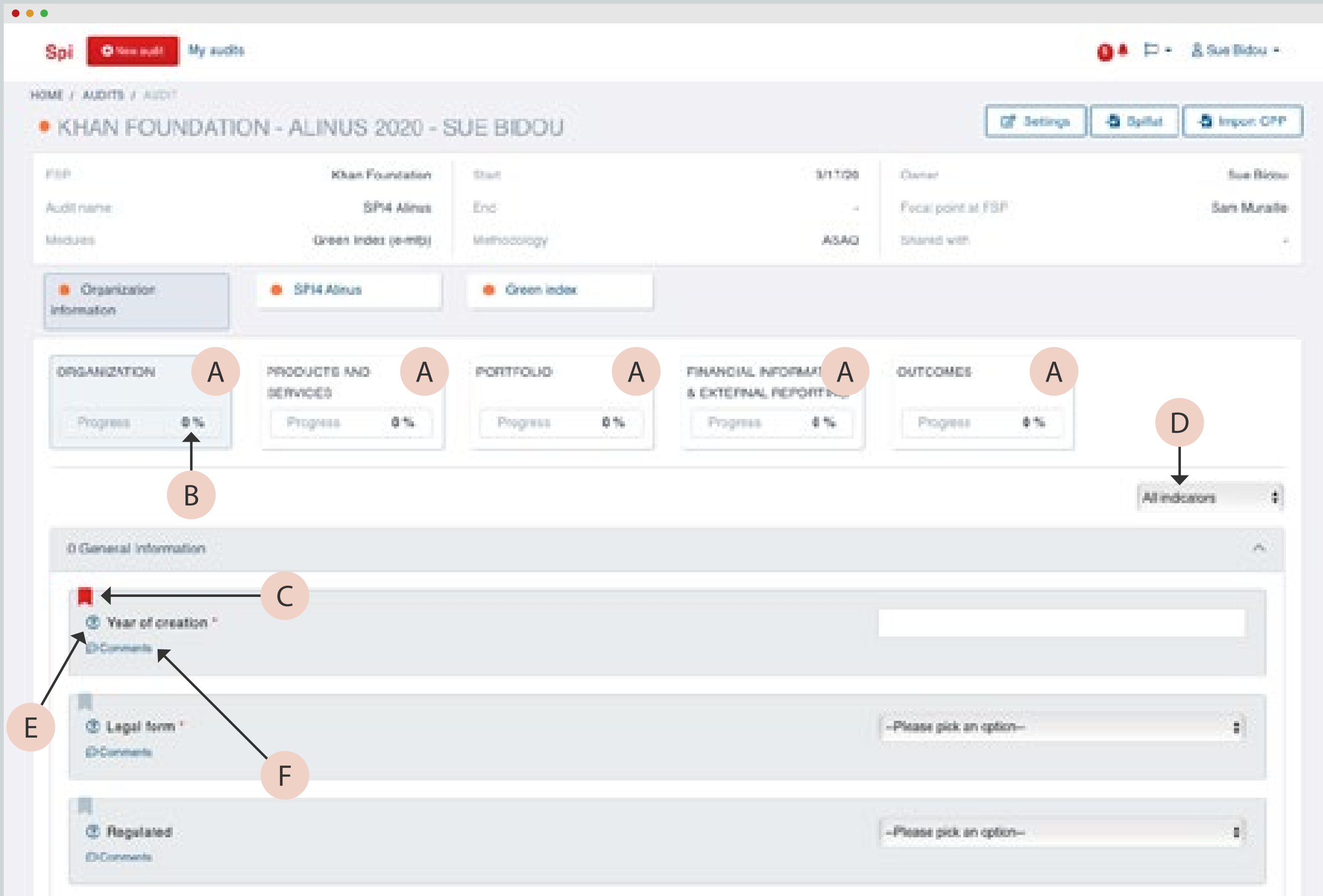
E Tips

Click on the tips icon to get guidance on how to interpret and score the indicator, as well as examples of good practice.

F Add Comments

Add comments to justify your answers, to facilitate analysis of the results, and make it easier to define action plans. The comments section opens automatically when you answer an indicator.

IMPORTANT!
You must click on Add to save your comment You can modify comments at any time.



3 Complete your audit online

SPI4 / Green sections

1 Section

Navigate from one section to the next.

2 Score

The score is calculated according to the answers you give while filling the questionnaire. All questions are weighted equally.

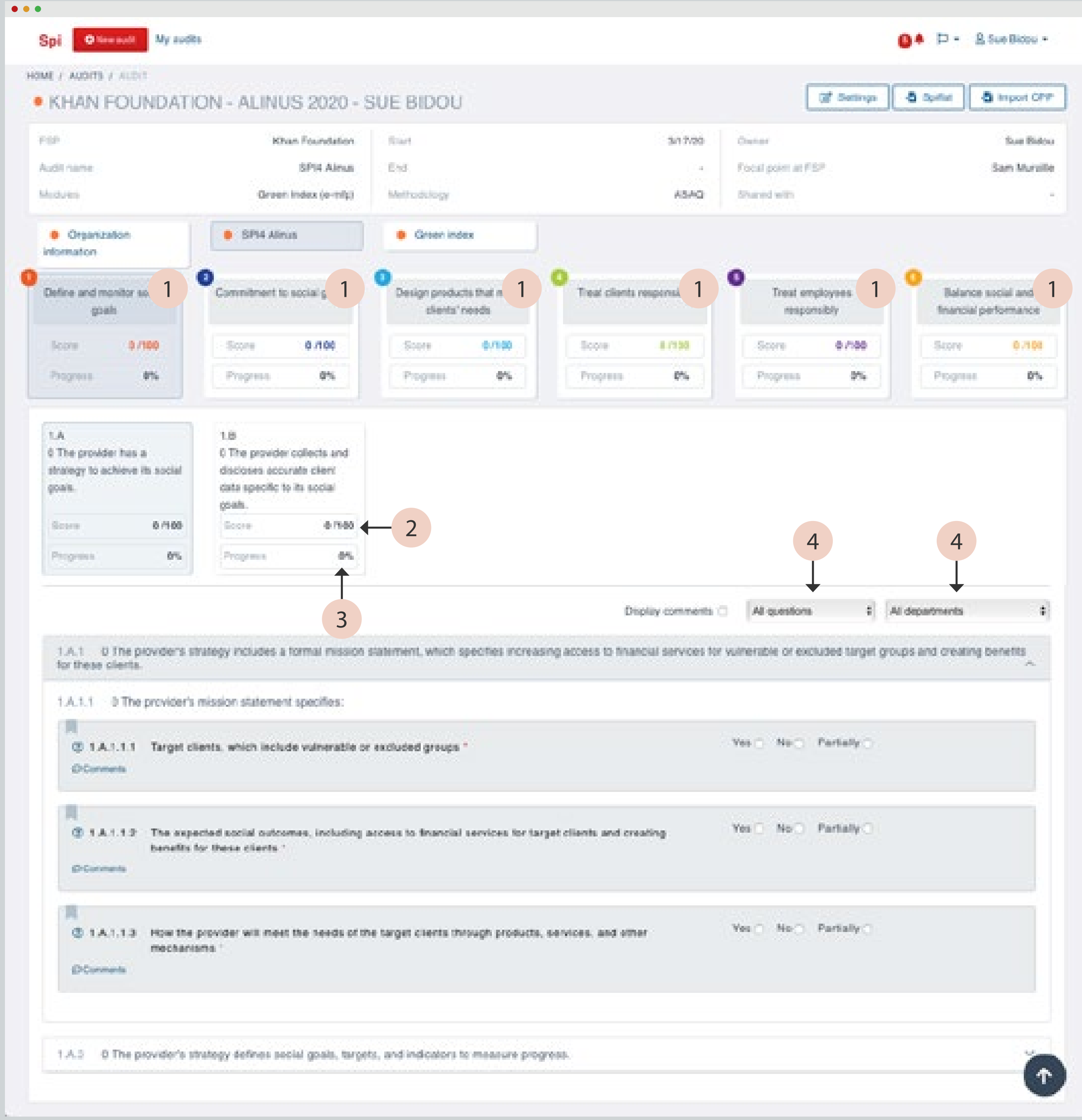
3 Progress

Progress is a percentage showing how much of the section has been completed.

4 Filter indicators

[Filter indicators](#) by answer to the indicator, or by department.

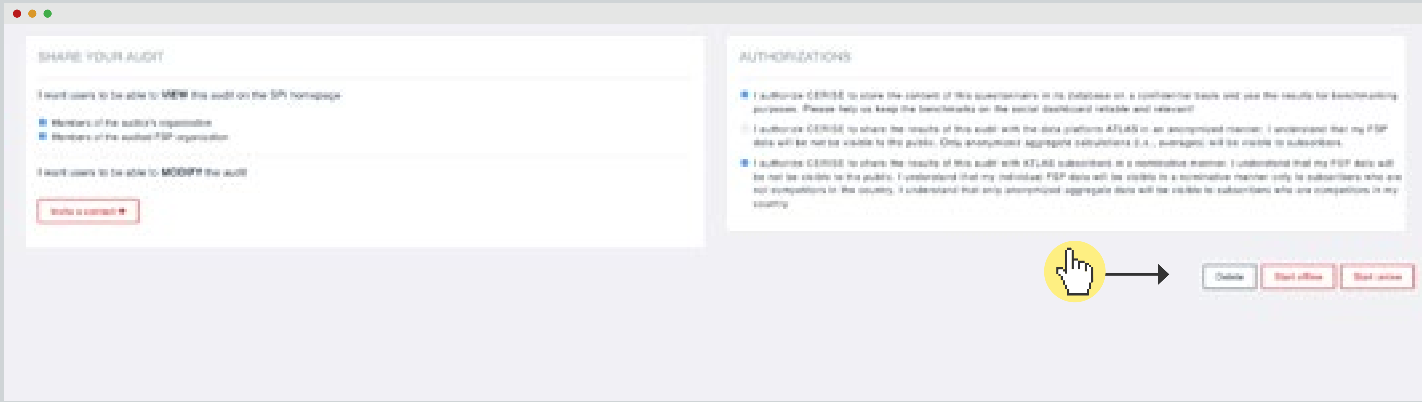
IMPORTANT!
Scores and Progress only update when you click on another section.
They will not update automatically with each answer you provide.



❹ Complete your audit offline

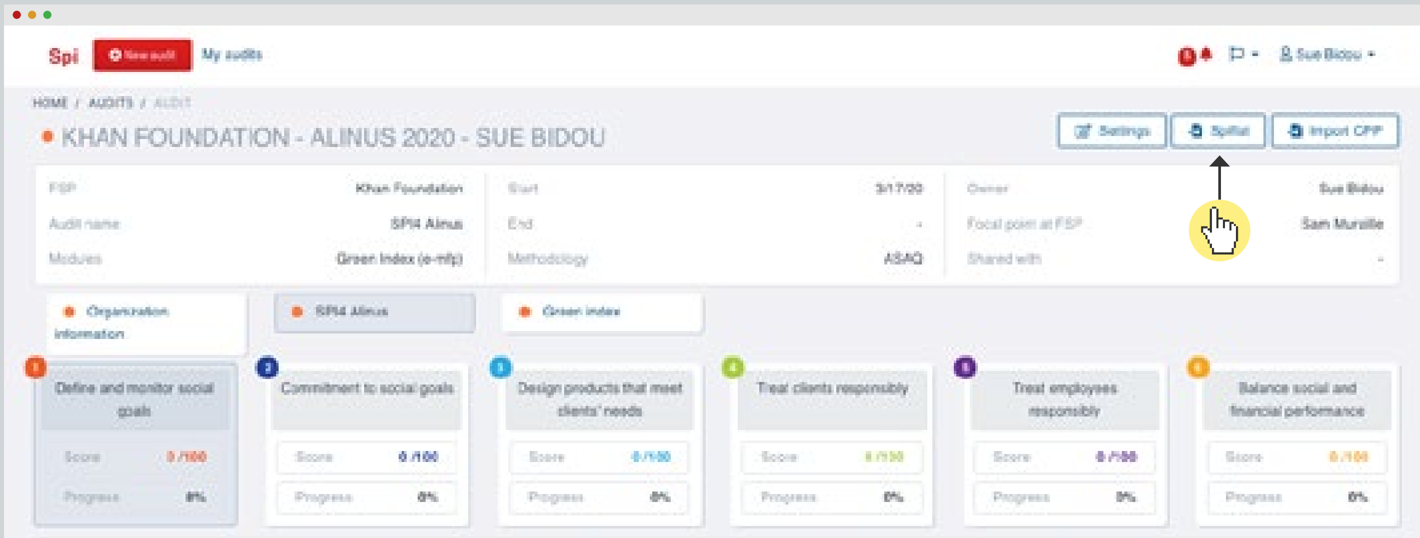
You can either start your audit offline...

Click on Start offline from the audit settings page to download a macro-free Excel file called SPIflat, for you to fill in offline.

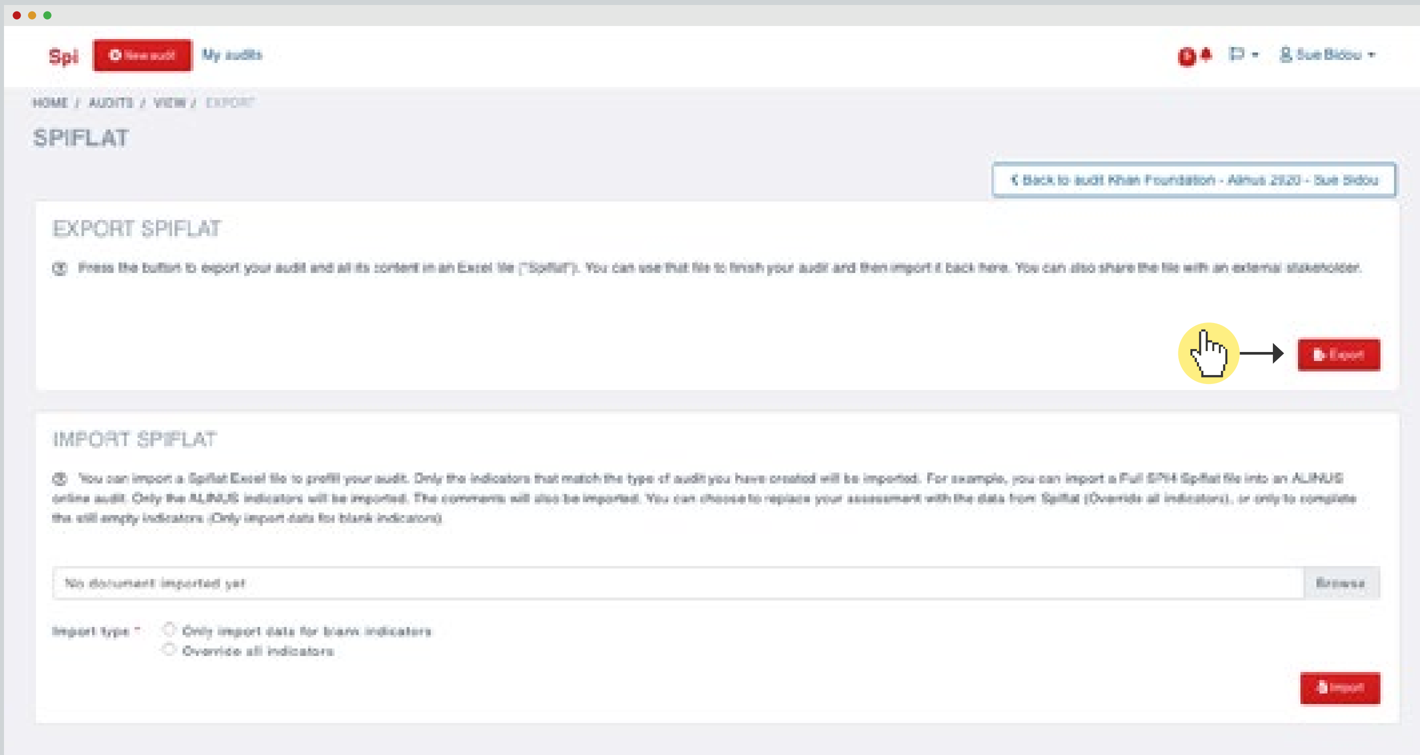


...or start online and when you want to work offline, export your audit into a SPIflat file

Go to your audit and click on the SPIflat button at the top right of the page.



On the next page, click on Export and a SPIflat will be downloaded on your computer.



SPIflat

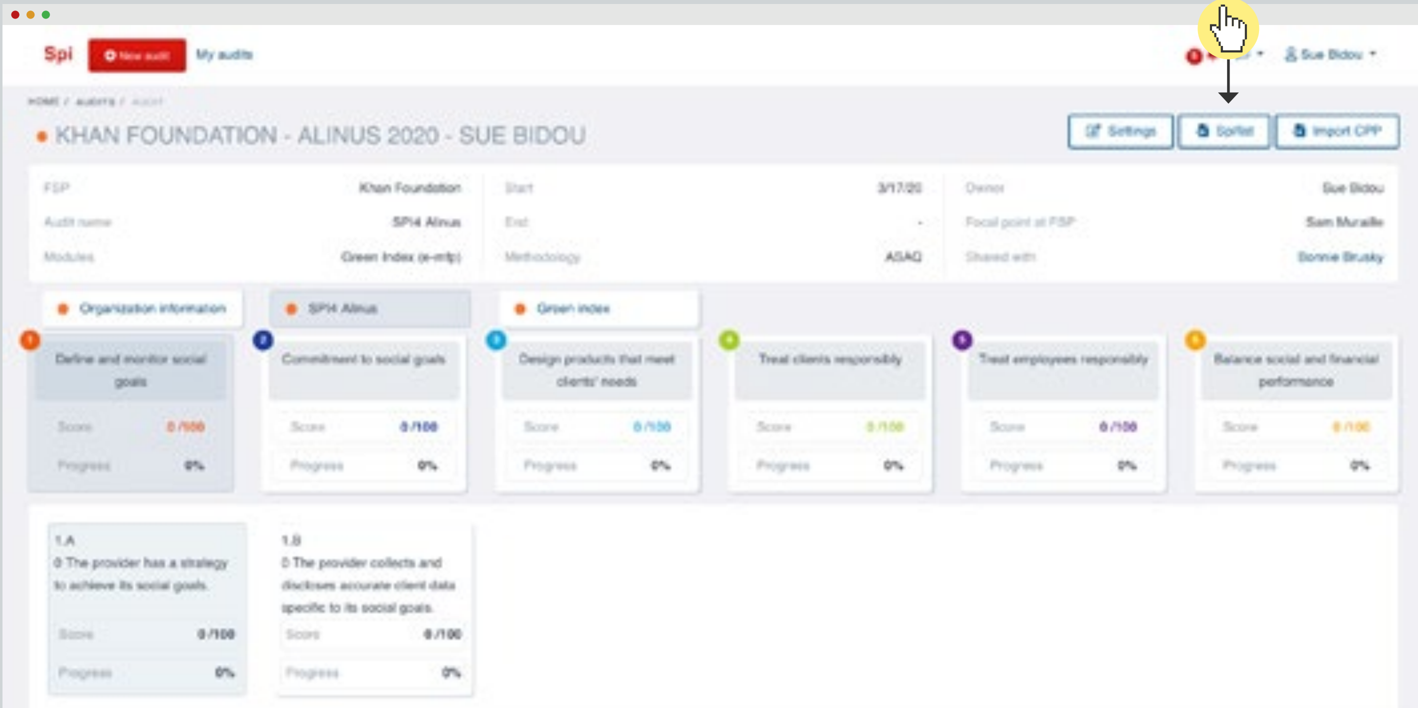
A macro-free Excel file called SPIflat that you can download onto your computer to conduct or continue your SPI4 Full or ALINUS audit offline.

❺ Import a SPIflat back into SPI

When you are done working offline, you must import SPIflat back into SPI online. You can import a completed SPIflat (to see results) or a partially completed SPIflat (if you want to finish the audit online).

Go to your "My audits" page and click on your audit.

Click on SPIflat at the top right of the page to access SPIflat Import page.

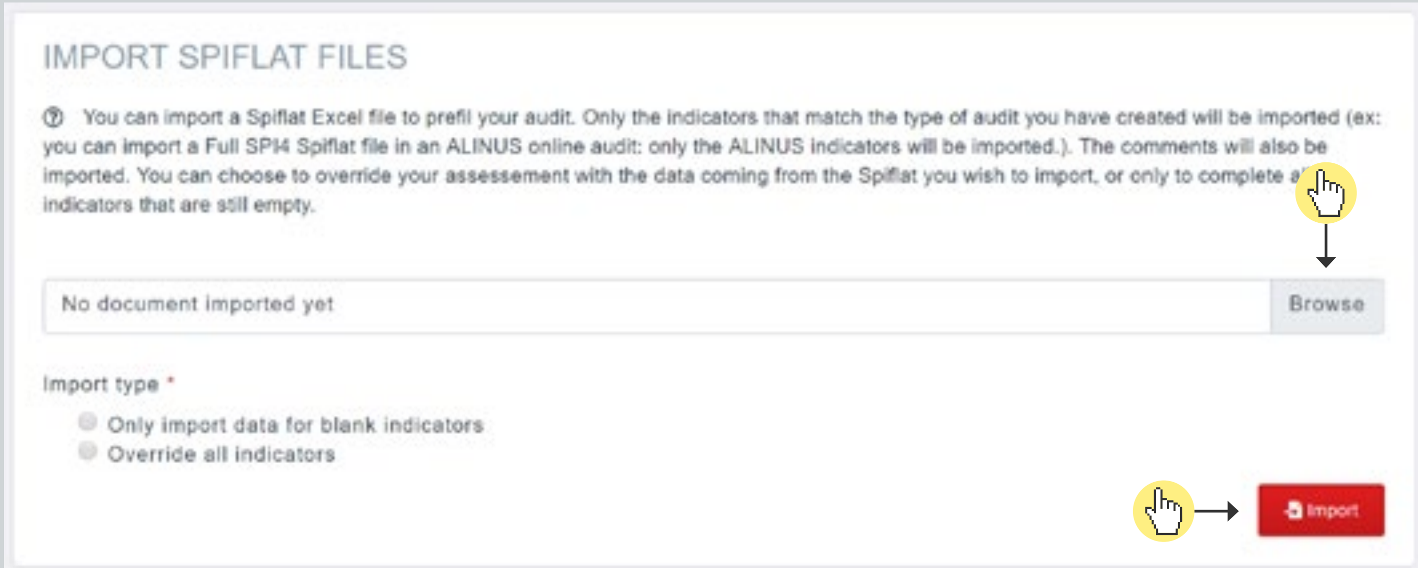


Browse to find your Excel file on your computer

Choose your Import type

Only import data for blank indicators = Only empty answers will be replaced
Override all indicators = Your SPIflat audit will totally replace all indicators

Click on Import.
Your audit online is updated. You can continue auditing or finish your audit to see your results!



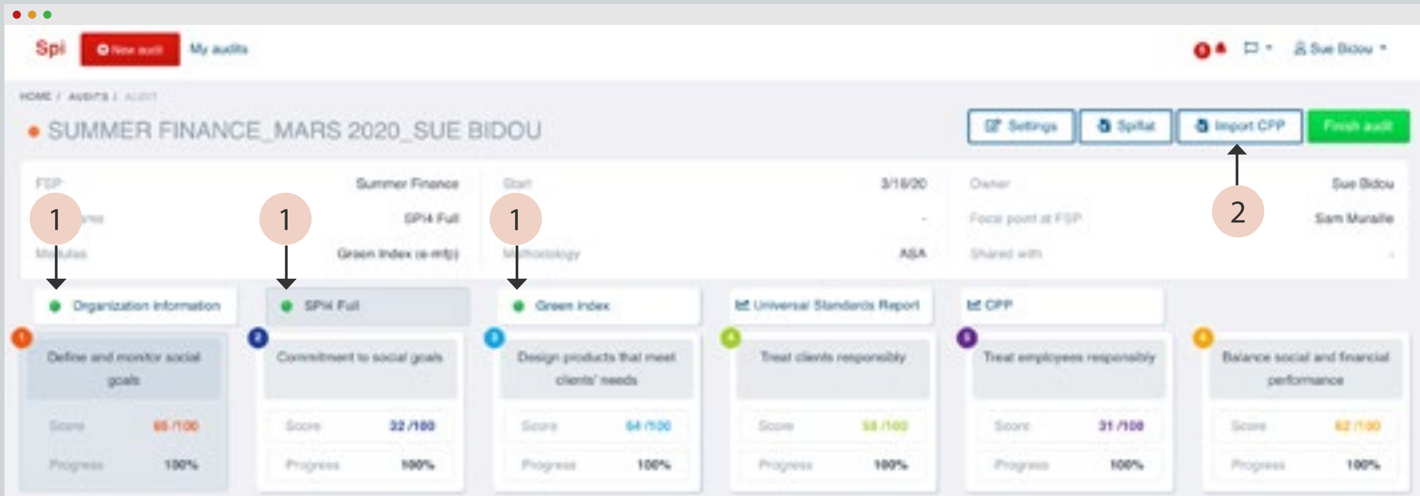
6 Visualize results with benchmarks

1 Complete sections

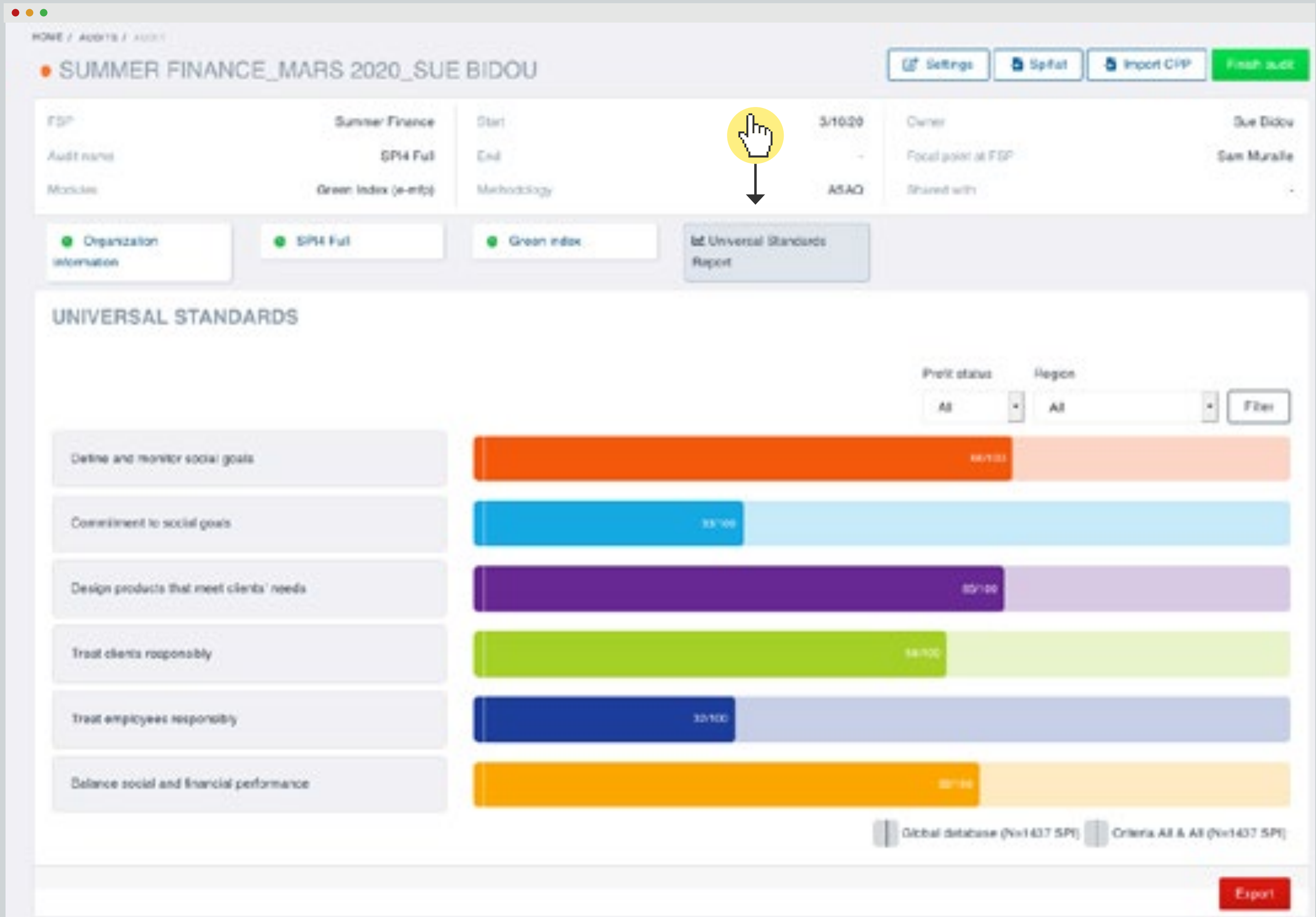
You can see the results when all sections have a green dot. Progress must be 100% in all sections.

2 Import CPP (optional)

If you have a recent Client Protection Assessment or Certification Excel file, you can import your results to SPI by clicking on Import CPP. If Type of Assessment is ALINUS, you will <u>not</u> see Import CPP.



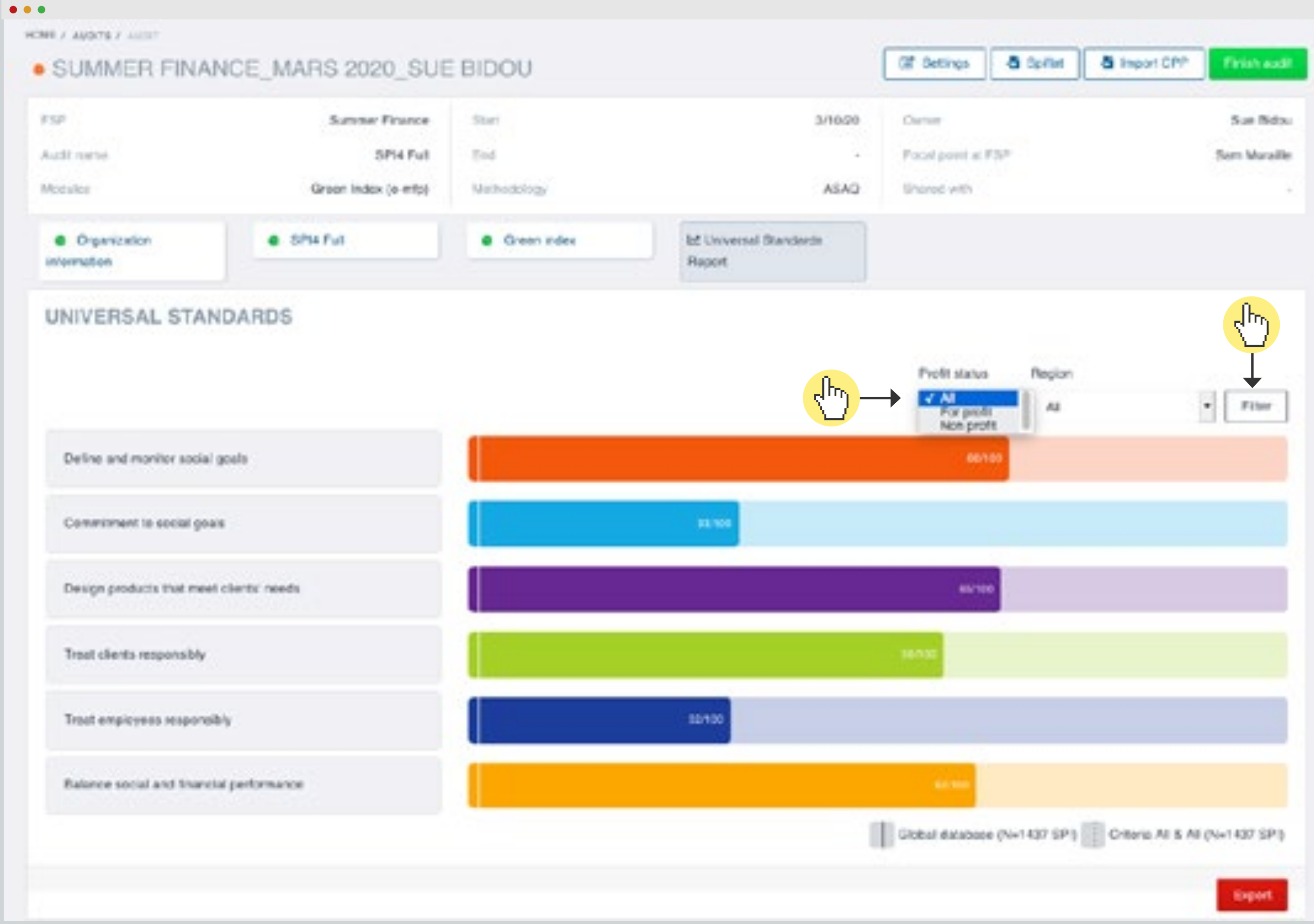
To see results with benchmarks, click on Universal Standards Report



❻ Visualize results with benchmarks

Add benchmarks for profit or non profit peers by selecting profit or non profit.

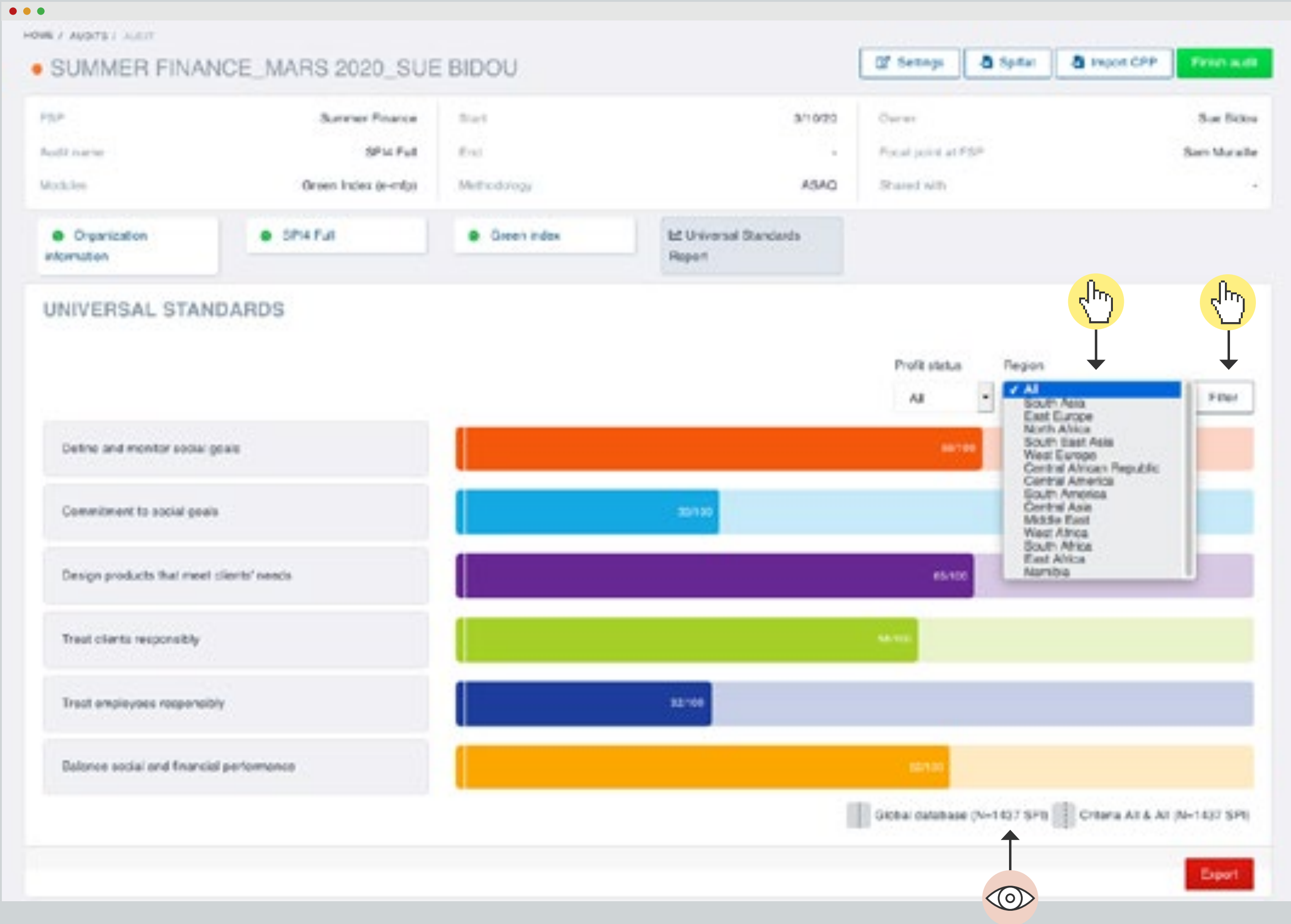
Then click on Filter.



Add benchmarks for regional peers by selecting the region.

Then click on Filter.

The number of audits used for the benchmarks appears on the bottom right side, under the graph.
You can also [download benchmark tables] in Excel for SPI4, ALINUS and Green (updated quarterly).



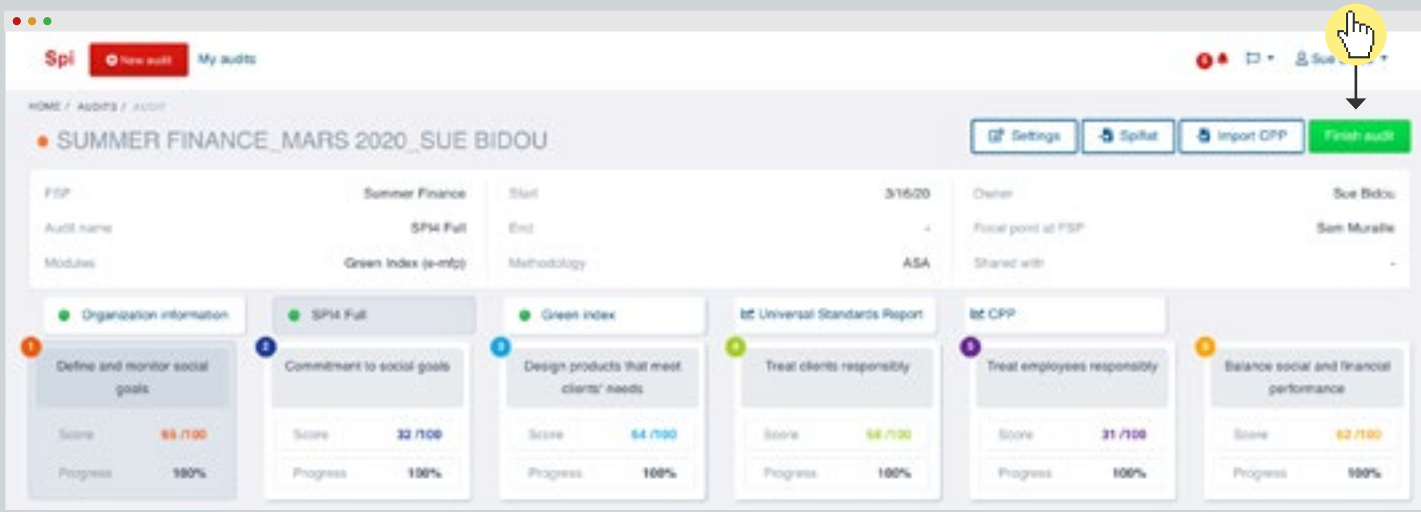
❼ Finish your audit

Click on Finish audit for your audit results to be added to benchmarking database.

CERISE will receive a notification to review your audit in order to integrate it into its database and determine if it can be used in the benchmark analysis.

Once you click on “Finish audit”, the audit is locked, and you cannot make changes anymore. But don’t worry, you can ask CERISE to unlock your audit if necessary at support@cerise-spm.org

Go back to "Create an audit"

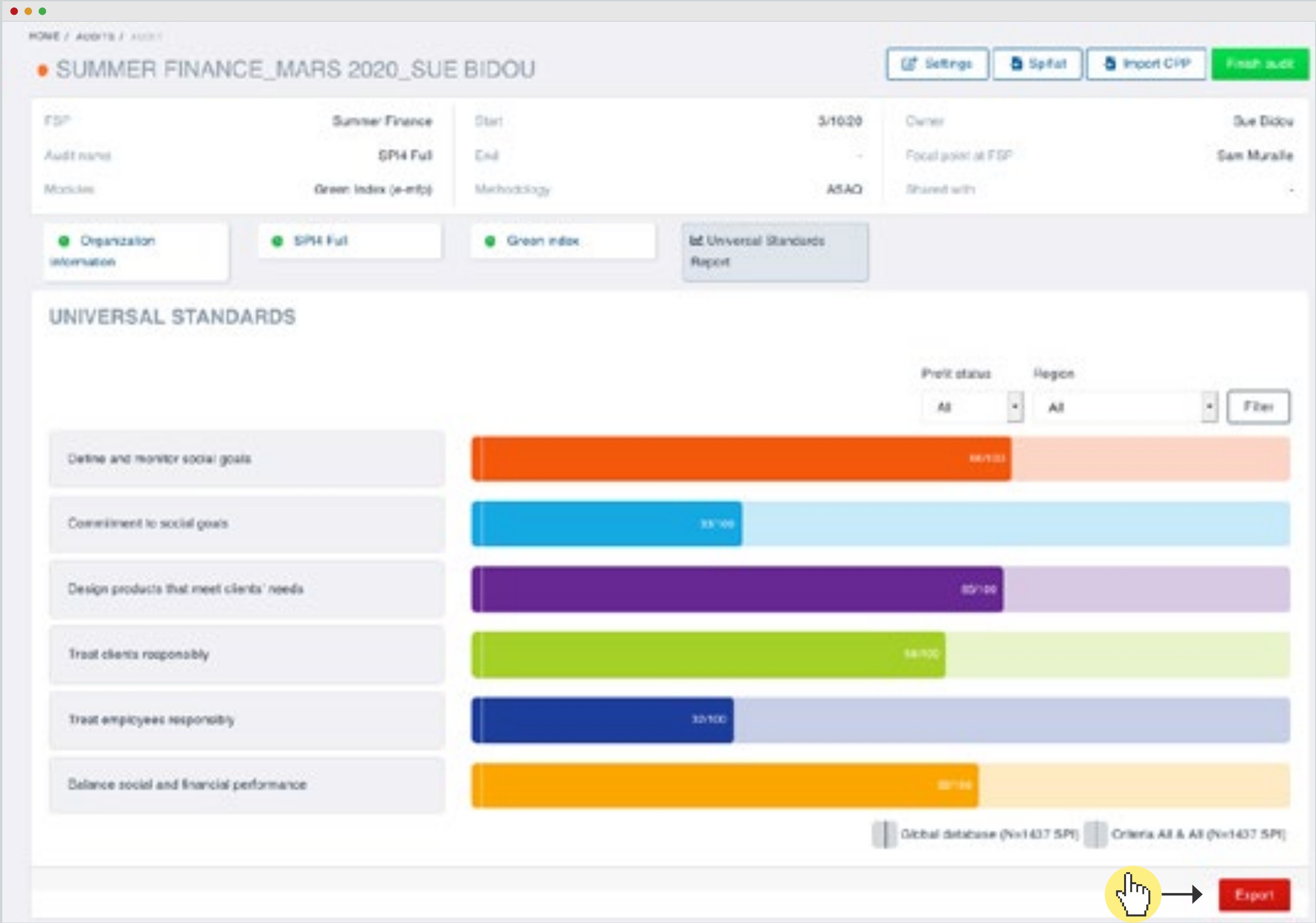


❽ Download results and social dashboards

You can download your Universal Standards scores by Dimension and Standard and the SPI4 and ALINUS dashboards in an Excel file to make it easier to share and communicate results.

On the Universal Standards Report page, click on Export

Be patient, it takes some time to download!



8 Download results and social dashboards

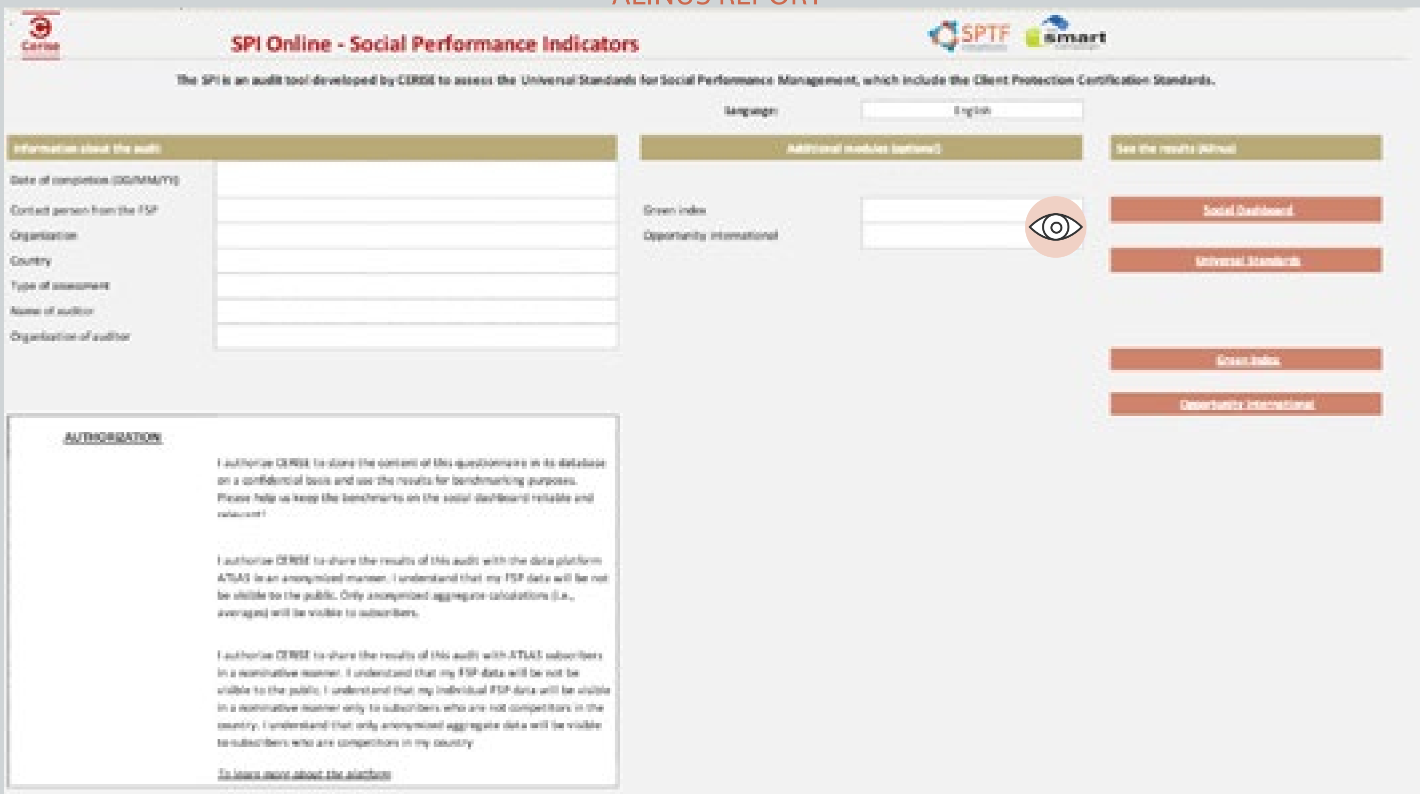
Save the Excel file on your computer.

When your open the file, accept macros, and be patient again. It takes some time to update the contents and produce all the different dashboards (Universal Standards Report, Client Protection Report, SPI4 social dashboard and/or ALINUS dashboard, Green Index Report, Transparency Report).

Depending on whether you do a SPI4 Full or ALINUS, you will have access to different dashboards. You can recognize the SPI Full report by the red results buttons. An ALINUS report has pink results buttons.

WELCOME PAGE
SPI FULL REPORT

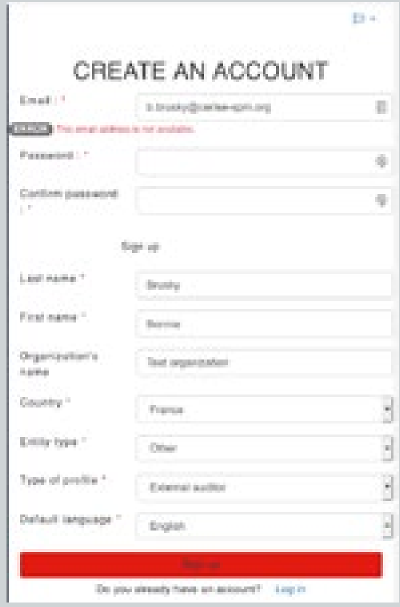
WELCOME PAGE
ALINUS REPORT



Error messages

Error : This email address is already used

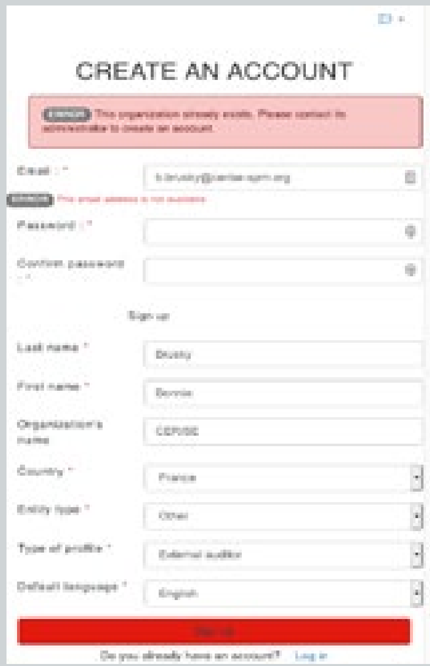
CERISE may have created an account for you or you may have already used your email to create an account. Check your emails (and spams) to see if you can find the login and password. If you can't find it, contact CERISE support@cerise-spm.org



Error: This organization already exists

This means that someone in your organization has already created an account and is the administrator (i.e., the Focal point) for your organization.

If you don't know who it is, contact CERISE support@cerise-spm.org

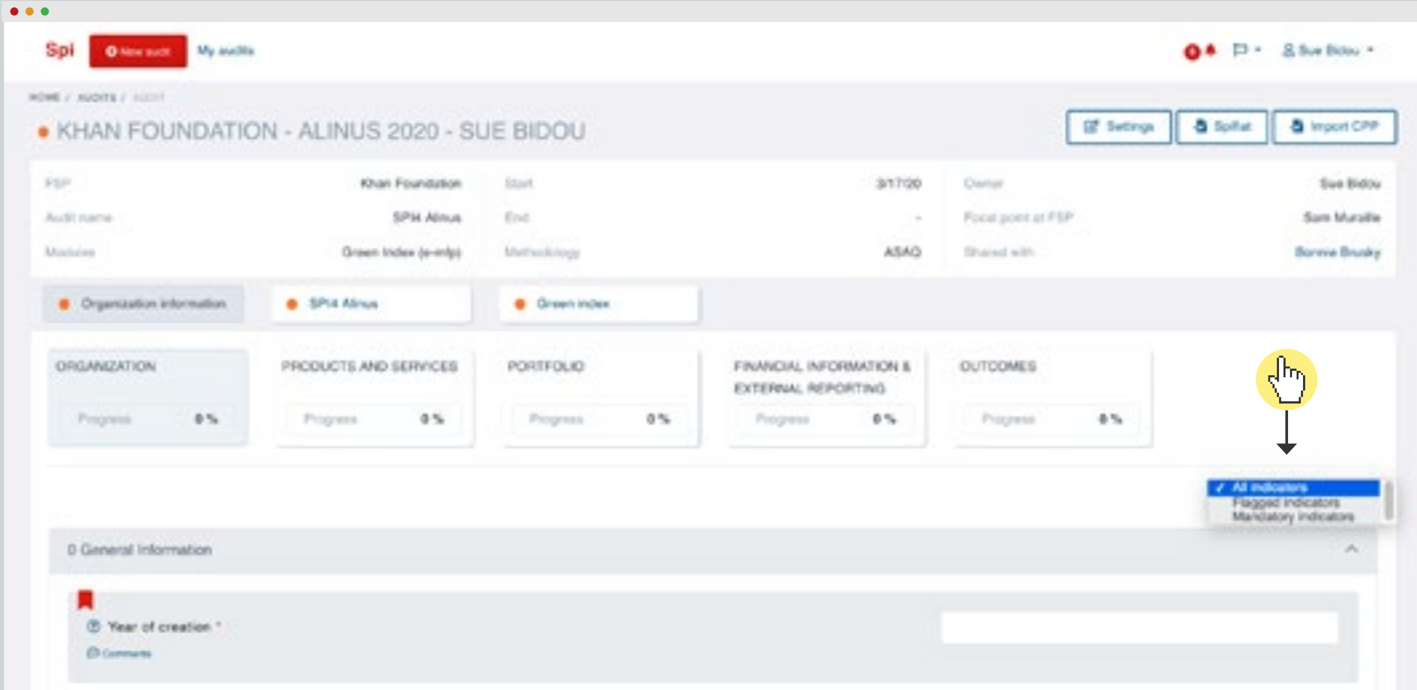


Go back

Filters in Org Info section

Filter by mandatory indicators, to see only the indicators that must be completed to see results

Filter by flagged indicators, to see the indicators you flagged (to come back to or have a co-worker fill in, for example)



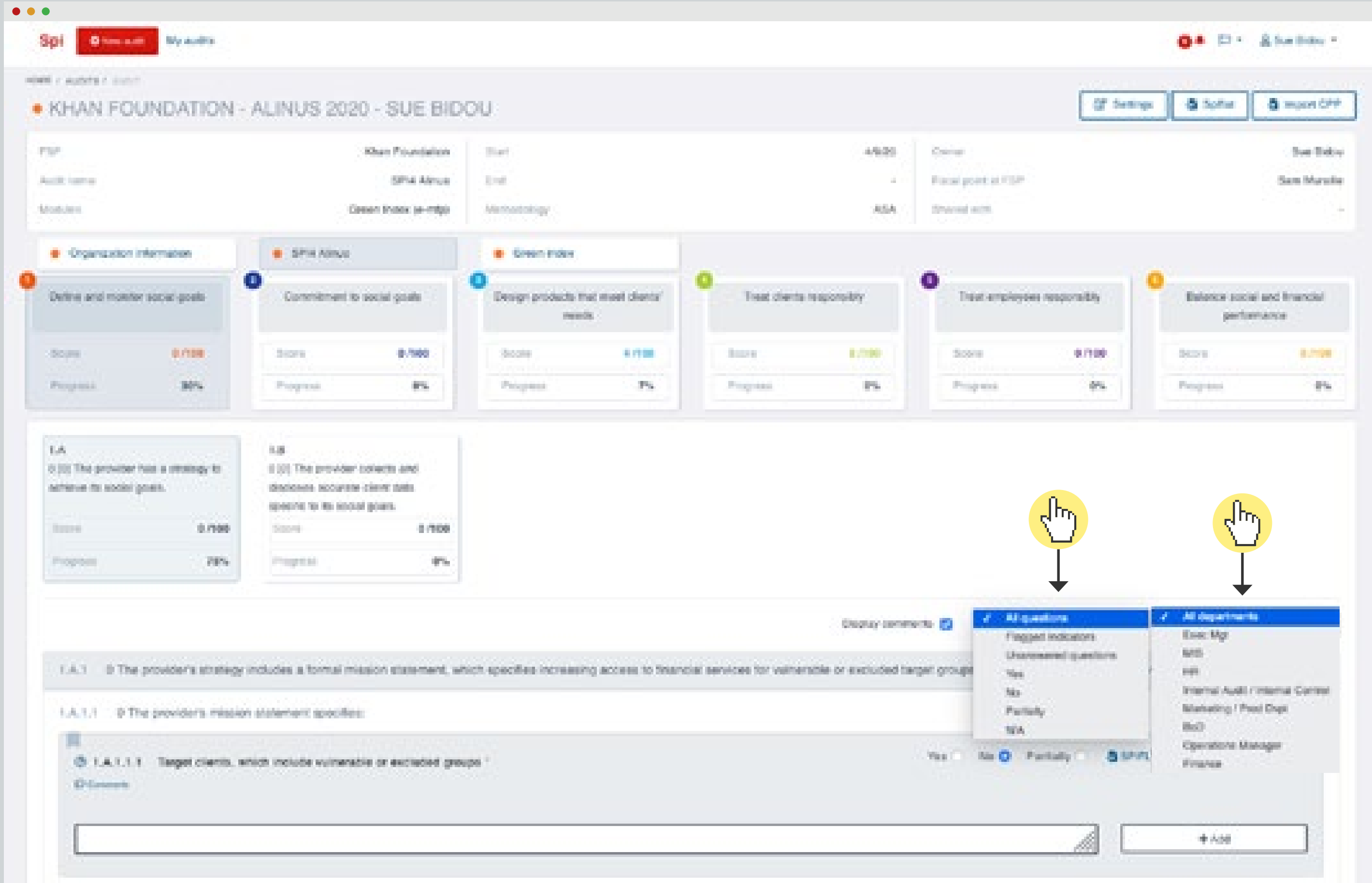
Go back

Filters in SPI4 Full or SPI4 ALINUS section

Filter questions by the answer selected

You can filter by the specific department in the organization, to make it easier for different staff members to fill in the questionnaire. The categorization of indicators by department is indicative and will depend on each organization.

See the [CERISE Document and Interview checklist](#) for a comprehensive list to cross-check information

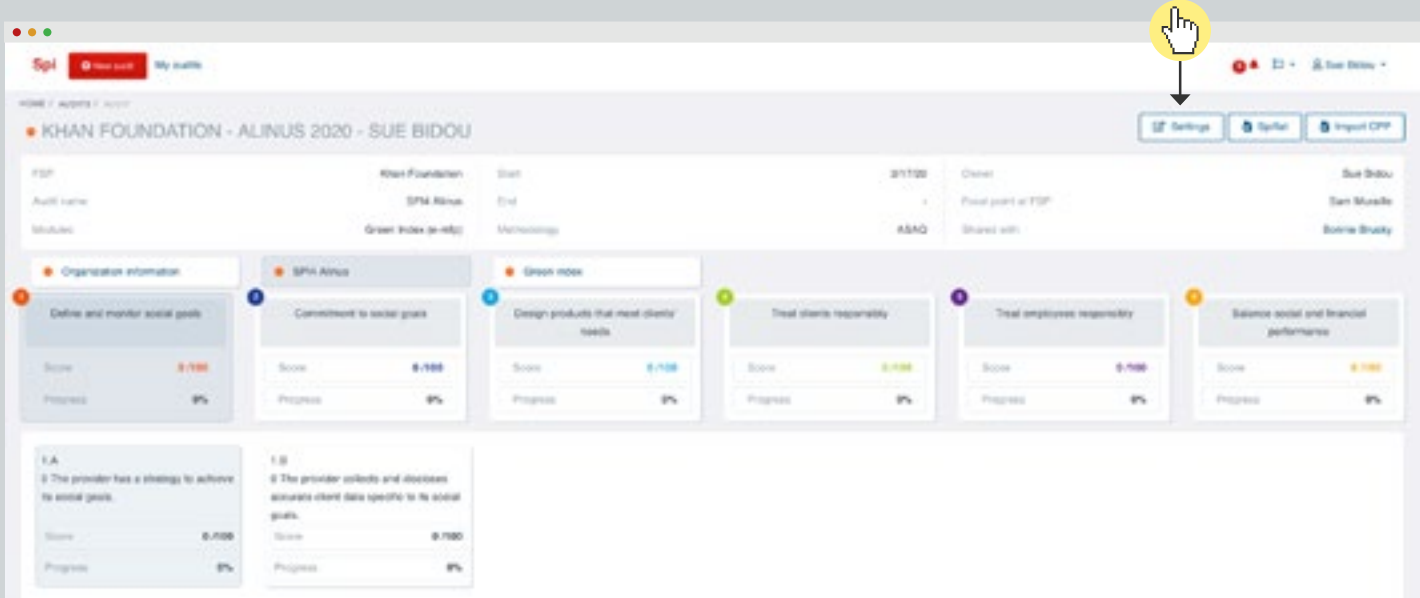


Go back

Edit audit settings & invite people to modify the audit

Only audit owners can edit this section.

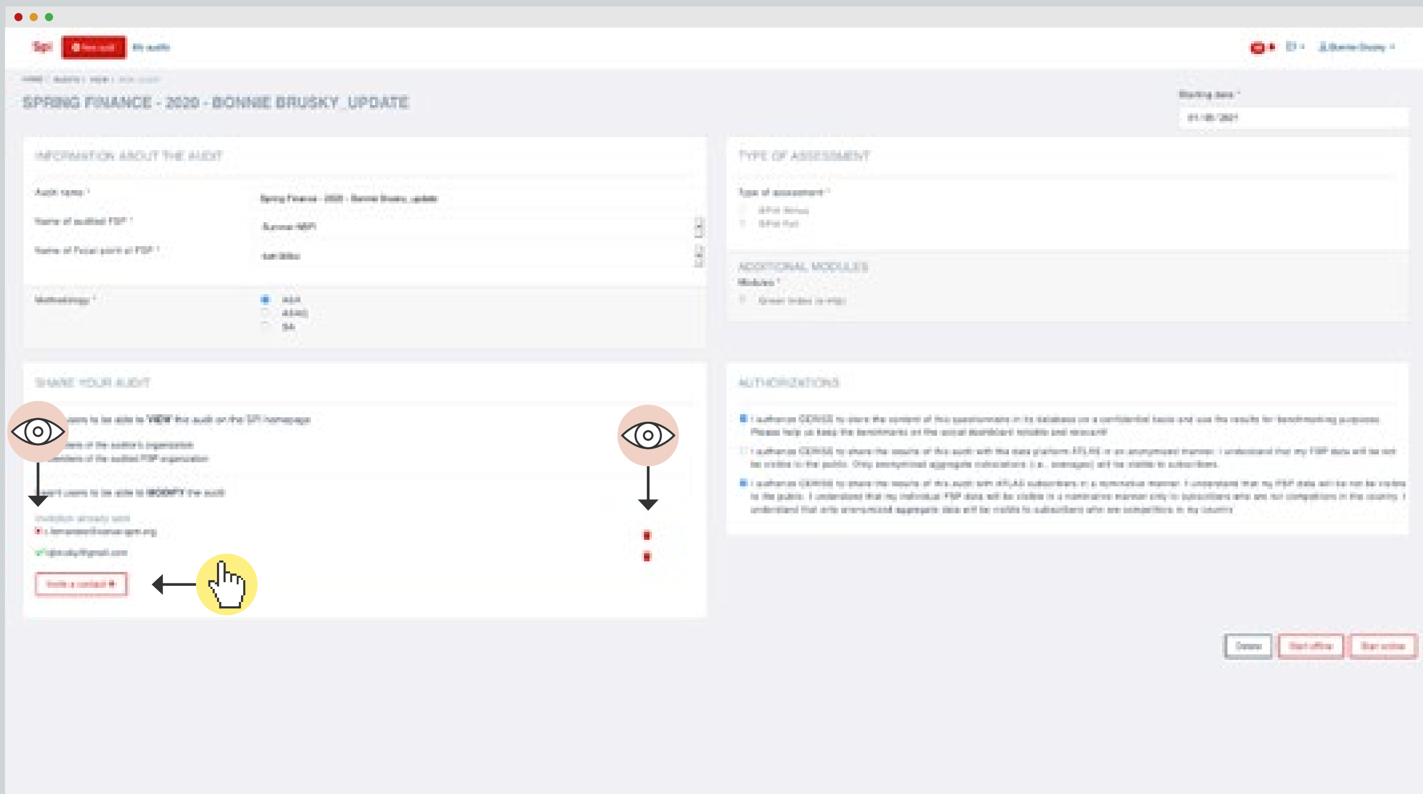
From the audit page, click on Settings



Click on Invite a contact to add the email addresses of people to invite.

IMPORTANT!
There is no send button!
You only need to type the email address and press Enter

Once the invitations are sent,
✓means the person has accepted the invitation
✗means they have not yet accepted the invitation.
Remove people by clicking on



Go back

Account profile & adding members

Edit account profile

Click on to edit each section

1 My Account

Change email and password

2 My Profile

Change name, default language, entity type

3 My Organization

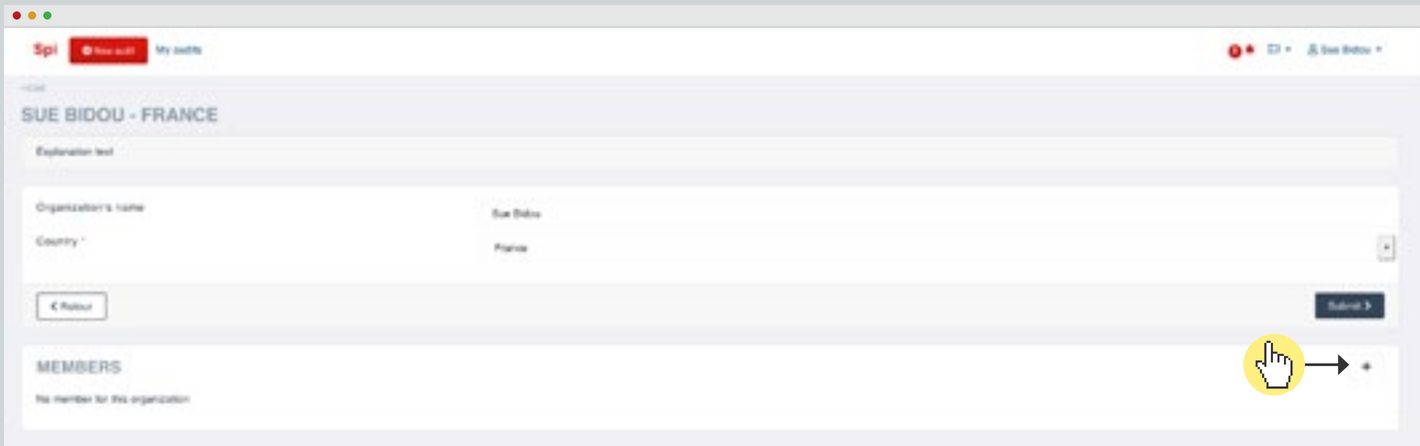
Manage your organization information – i.e., change its name, add (and remove) members from your organization.

Only focal points can edit this section.

Add members to your organization

Click on to edit each section

Click on "+" to add the email addresses of co-workers you wish to add to your organization.



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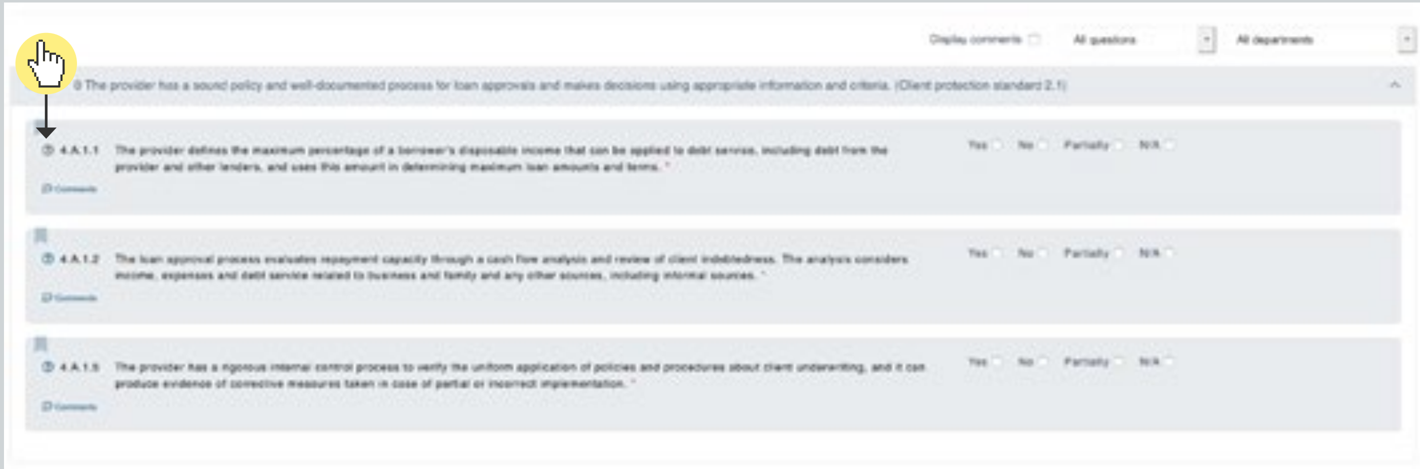
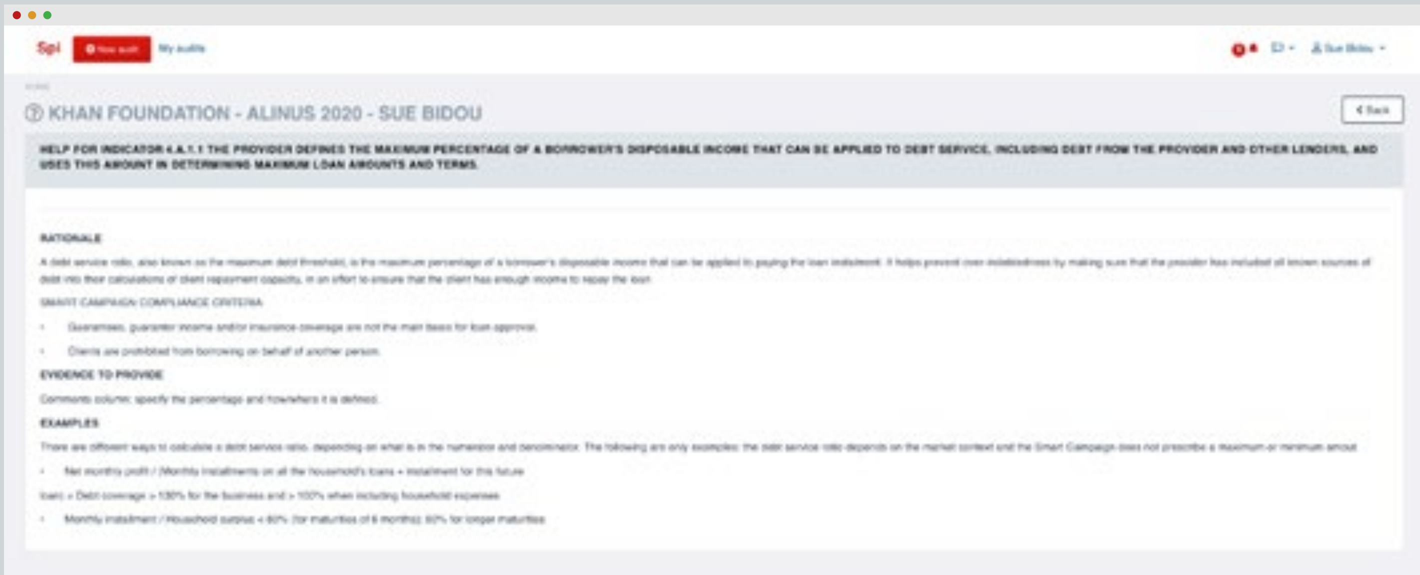
Tips

Click on the ⓘ to see guidance for the indicator from the SPI4 Audit Guide: how to interpret, score and comment the indicator, and examples

Download the [SPI4 Audit Guide]





Go back

Comments

Click on Comments to open comments box.

Click on Add to save the comment.

Use comments to provide evidence: cite documents (with page numbers), practices or processes observed, or explain why the indicator doesn't apply.

Comments are important!
They allow people less familiar with the FSP to better understand practices, will help guide discussions on results and action planning, and they allow CERISE to validate the quality of the audit to determine if it will be used for benchmarks.

Several users can comment on an indicator. Their comments will appear with their name and time of comment, below the comment box.

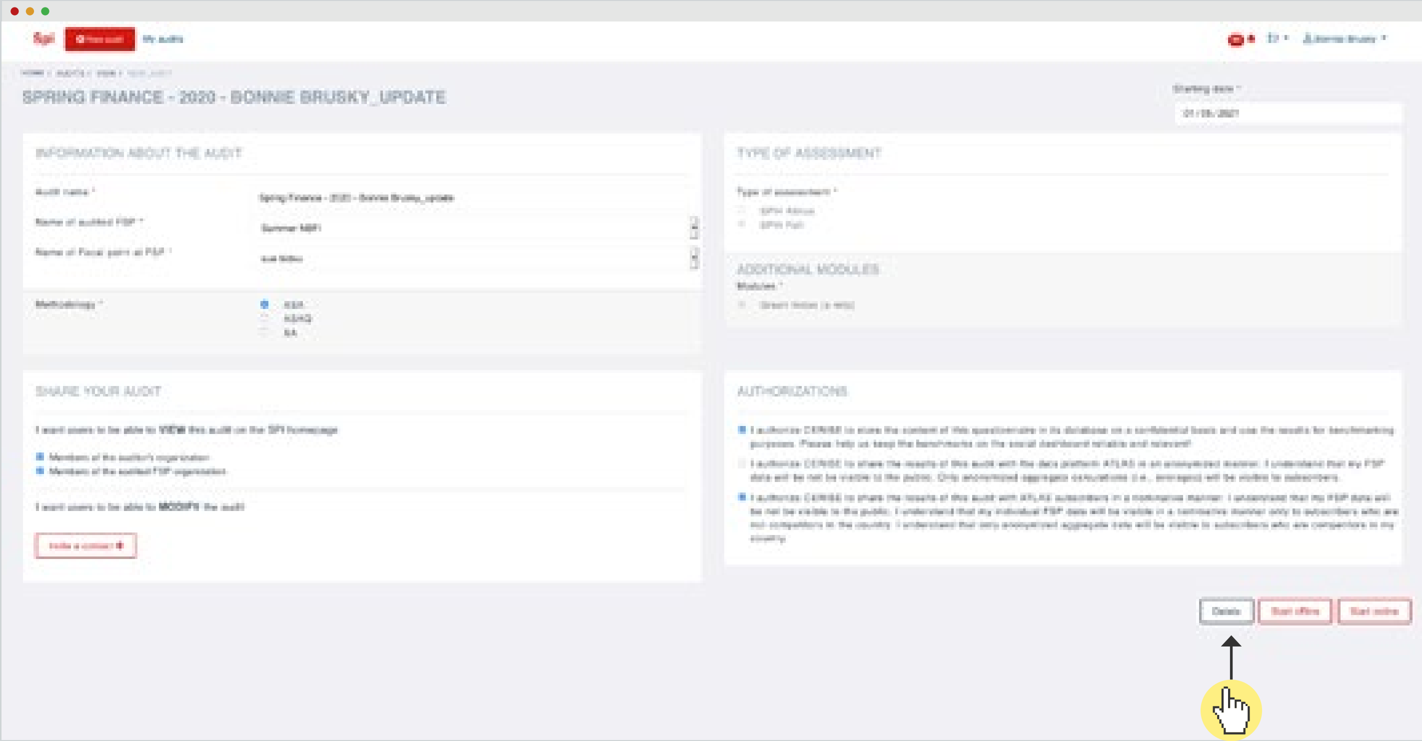
Go back

Delete an audit

From the audit settings page, click on Delete.

Only the audit owner can delete the audit. Audits cannot be deleted once they are finished. If you need to delete a finished audit, contact CERISE at support@cerise-spm.org

When you delete an audit, it is no longer available on line. If you want to keep a record of your audit, we suggest you download a SPIflat before deleting your audit.



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