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Discover SPI

Why use SPI online

SPI is a web application designed by CERISE to conduct social performance assessments using the SPI4 and SPI4-ALINUS tools. SPI is accessible for free, as other audit tools developed by CERISE.

Thanks to SPI, you can:

- Fill in the SPI4 or ALINUS online or offline
- See all the audits you've done in one place
- Easily share audits with partners or co-workers
- Immediately see how results compare to SPI benchmarks

Who can use SPI

Anyone who wants to conduct a full social performance audit or ALINUS social due diligence of a Financial Service Provider (FSP).

- Staff members of financial service providers
- External auditors who may be
    - independent consultants
    - staff of international organizations or networks
    - staff of professional organizations
    - investors
    - rating agencies

Data security

We respect your privacy and are committed to protecting your personal data.

When you create an account on SPI online, your data (personal data and audit data) is stored online, safely and confidentially through CERISE's server OVH, based in France.

See our full privacy notice to find out how we collect, use, share and secure the personal data you provide on our website and SPI web application:

DOWNLOAD PRIVACY NOTE

This notice also explains your privacy rights and how laws that are applicable to you may protect you.

CERISE has appointed a data protection officer (DPO) who is responsible for overseeing questions related to privacy and data security. If you have any questions, including any requests to exercise your legal rights, please contact dpo@cerise-spm.org.

SPI is hosted on the subdomain https://spi.cerise-spm.org

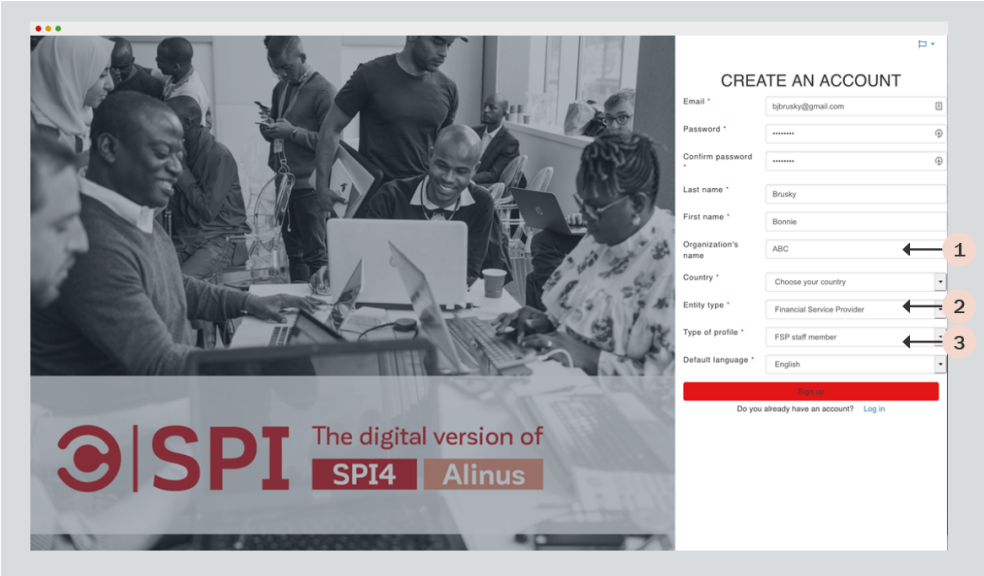
Getting started

Step by Step guide in PDF

DOWNLOAD GUIDE PDF

Create an account

Go to spi.cerise-spm.org and fill in the requested information.



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)

"My audits" page

The "My audits " page is the first page that you will see.

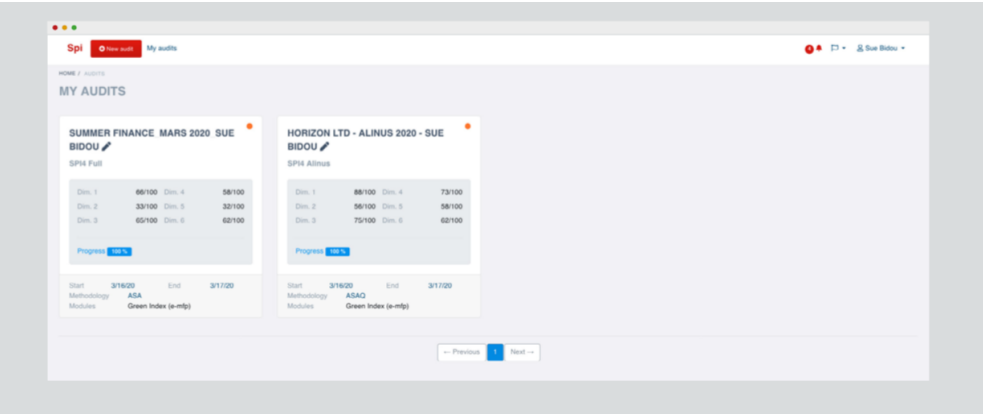
It is usually empty the first time you log in.

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

The most recent audits will show first – from left to right.

. . .

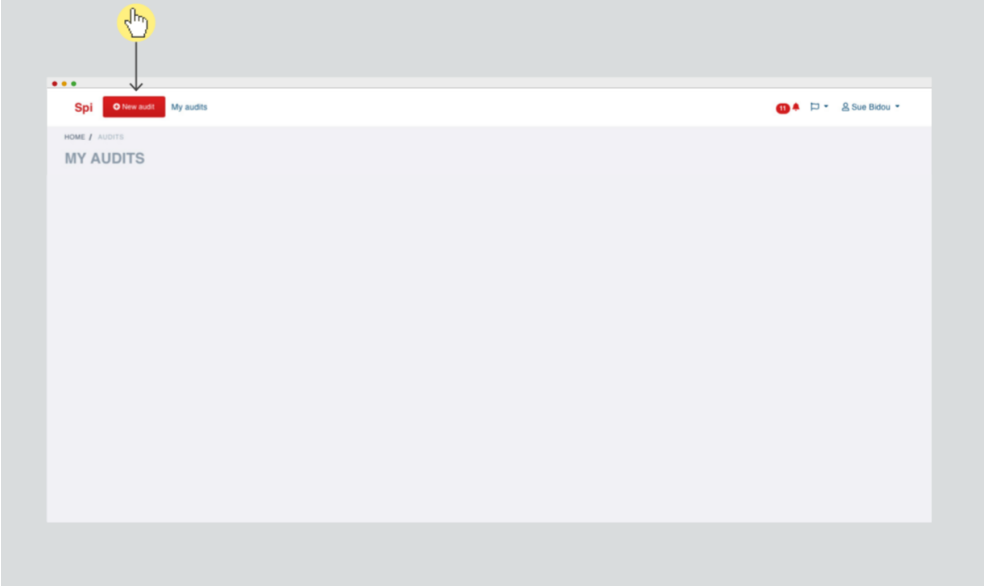
If the "My audits" page is not empty, it means that CERISE has imported your past audits into SPI online, or that you have already conducted or been invited to an audit.



Create an audit

Click on 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.


Spi
New audit
My audits
11
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HOME / AUDITS
MY AUDITS

Account settings

Focal points

If you are first person of your organization (FSP or non-FSP) to create an account on SPI, you automatically become your organization's Focal point on SPI.

As a Focal point, you have two responsibilities:

- You are the only user able to "Edit" your organization's profile (country, name)
- You are the only user able to "Add Members" to your organization

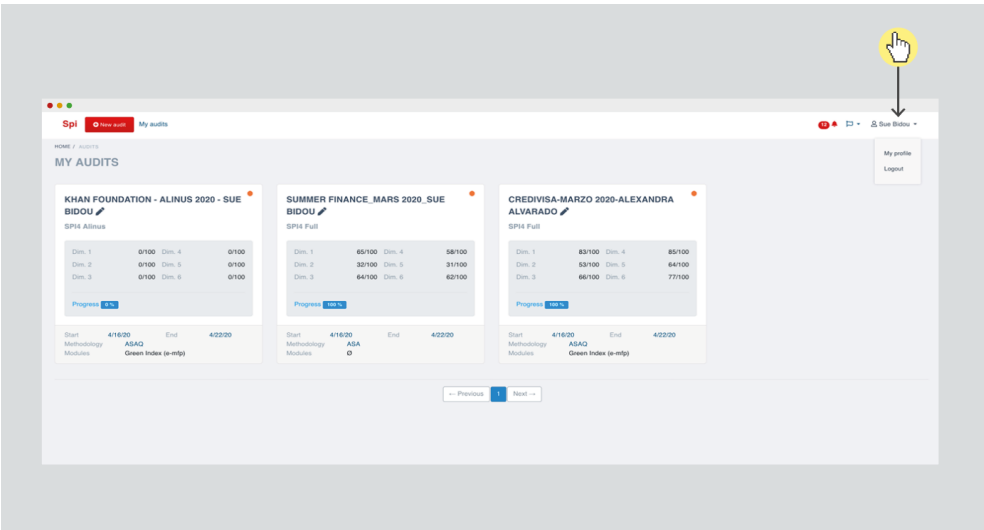
The co-workers that you add as Members of your organization receive an invitation by email to create an account on SPI (make sure to check SPAM).

These co-workers cannot automatically see your audits.

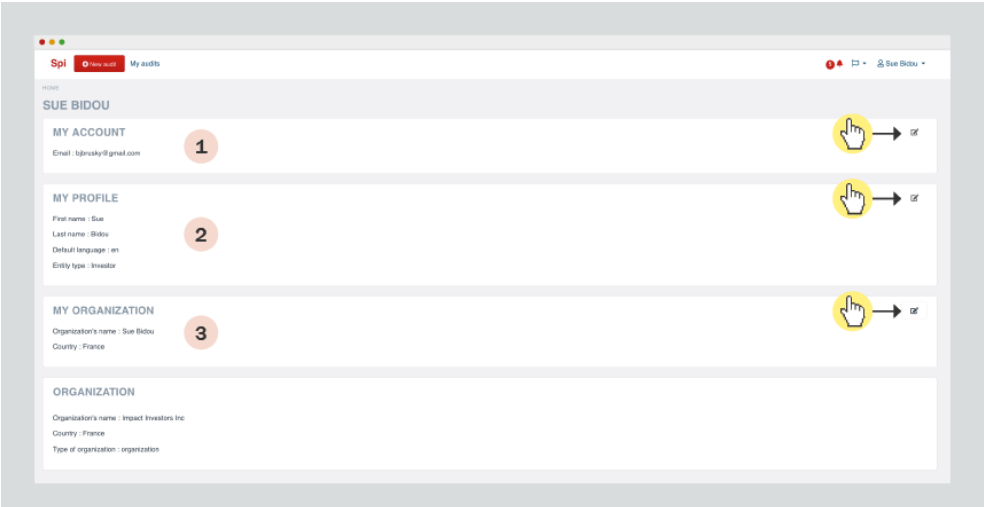
Adding a co-worker simply facilitates their account creation.

How to edit my profile

1/ Access your profile by clicking on your name at the top right of "My audits" page and then select "My Profile ".



2/ Click on edit icon to edit each section.



1/ My Account : Change email and password.

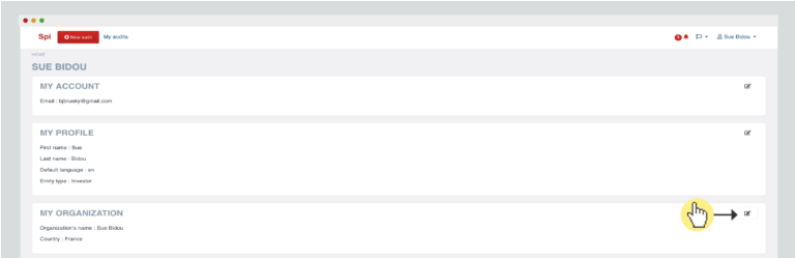
2/ My Profile : Change name, default language, entity type.

3/ My Organization : Manage your organization information – i.e., change its name, add (and remove) members from your organization.

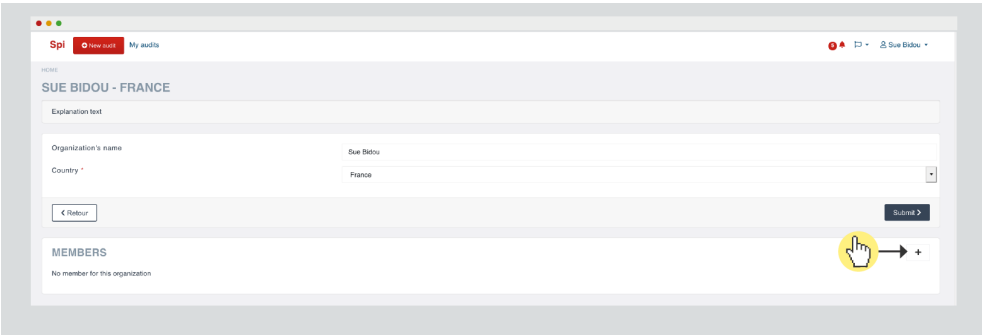
IMPORTANT! Only focal points can edit the My Organization section.

How to add or remove members to my organization (focal points only)

1/ Go to “My Profile ” then “My Organization ” (only accessible to Focal points)



2/ Click on “+” to add the email addresses of co-workers you wish to add to your organization on SPI



You can also remove members from your organization by clicking on the Trash icon.

The co-workers that you add receive an invitation by email to create an account on SPI.

Adding a co-worker simply facilitates their account creation.

Co-workers cannot automatically see your audits.

Audit settings

Audit owner

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

It means that you are the only user able to edit an audit's settings and manage sharing permissions, i.e., invite people to VIEW or MODIFY the audit.

Owners can edit the audit settings at any time during the audit process.

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.

Naming an audit

We suggest that you name your audit like this:

Name of audited FSP – YYYY – Name of auditor or auditor's organization

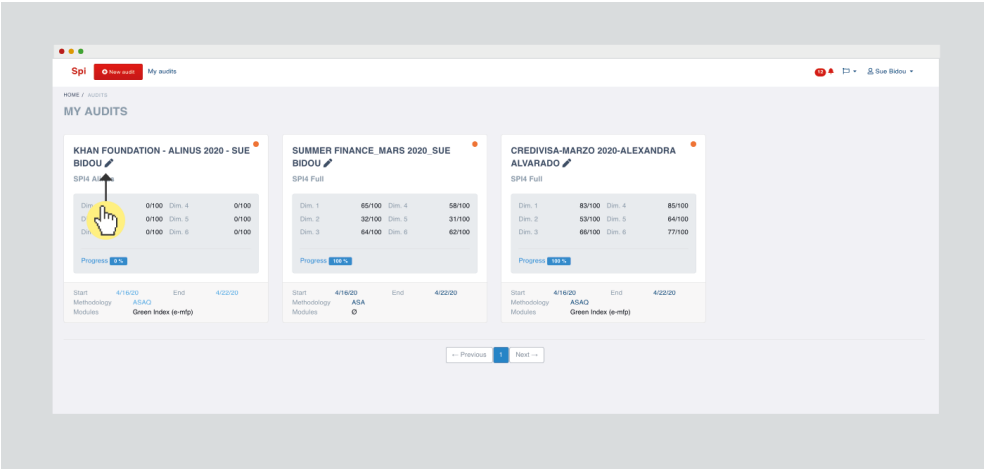
It will help you easily navigate among your audits!

Edit an audit's settings (owners only)

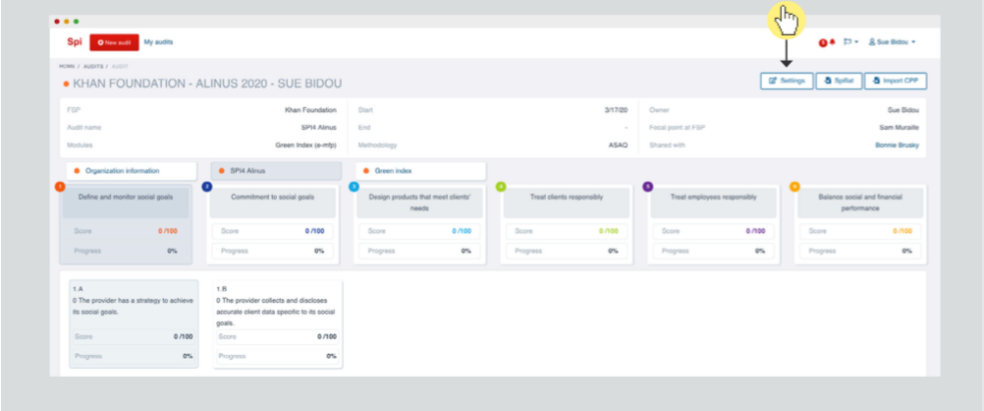
Only the Owner can edit the audit's settings.

FSP staff members of the audited FSP and External auditors who have been invited to an audit cannot change the settings.

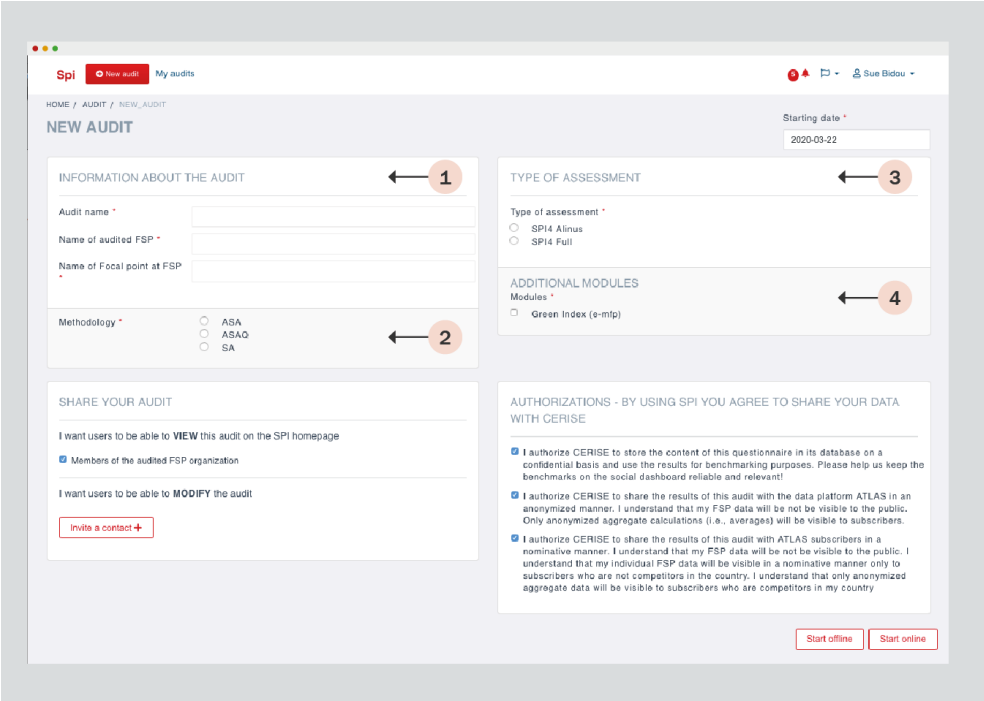
To edit settings, from "My audits" page, click on the edit icon in the title:



Then, "Settings " in upper right corner:



This is the audit settings page:



1. Information about the audit

Give your audit a name.

Fill in the name of the audited financial service provider.

> IMPORTANT! Consult this list of FSP names to make sure you use the correct name, so that audit can be associated with the FSP account!

LIST OF FSP NAMES

"Name of the Focal point at FSP" will be automatically filled in if (1) someone from the FSP already has an account on SPI and (2) the FSP name is written correctly.

. . .

2. Audit methodology

ASA = Accompanied Self-Assessment: the FSP is accompanied by an external auditor.

ASAQ = Accompanied Self-Assessment by Qualified Auditor who has gone through the qualification process with CERISE. See the list of qualified auditors on our website.

SA = Self-Assessment: the FSP is audited by a FSP staff member.

. . .

3. Type of assessment

Select SPI4 Full for the full SPI4 questionnaire.

Select SPI4 Alinus for the smaller sub-set of SPI4 indicators used by social investors for social due diligence, monitoring and reporting.

. . .

4. Green Index

You can add the optional module Green Index (automatically activated if you choose ALINUS). This module is for FSP to assess environmental performance and add additional indicators for a deeper analysis of environmental aspects.

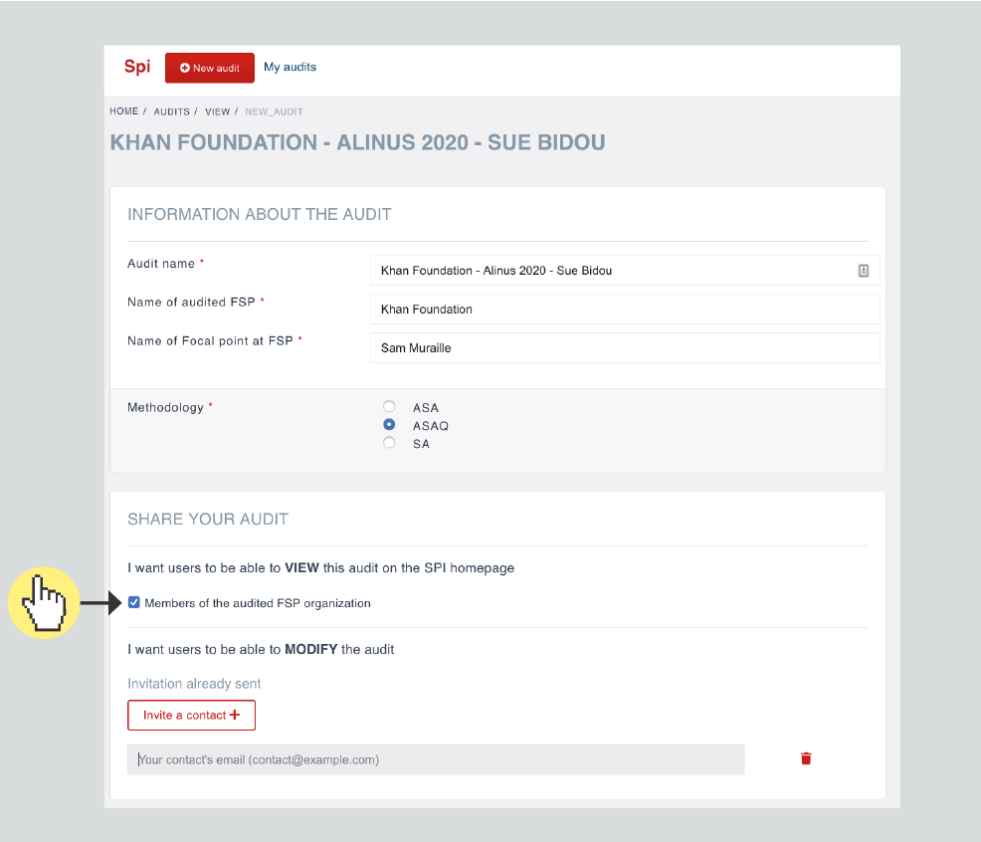
Green Index is developed by the e-MFP Microfinance and Environment Action Group.

Sharing an audit

With SPI online, it is easy to share the audit with anyone. They just need an account on SPI to be able to access the audit. The audit Owner decides on viewing or modification permissions.

Give VIEW access to members of the audited FSP

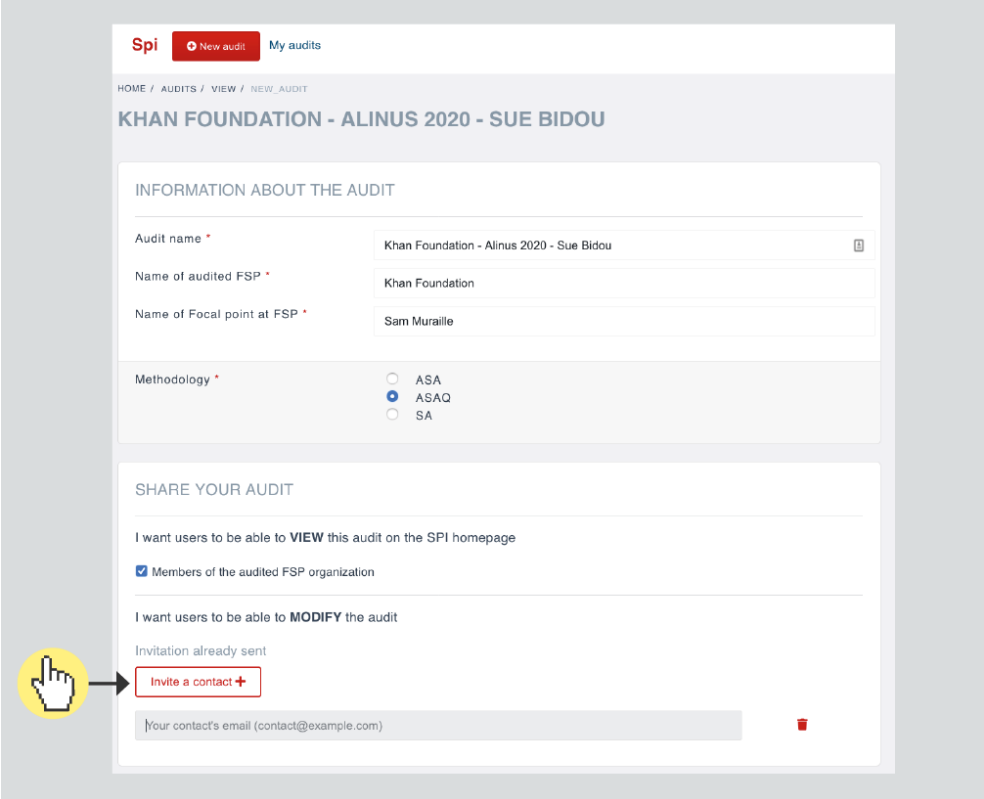
Check the first box to give VIEW access to members of the audited organization who already have a SPI account. If they don't have an account, the Focal point for the FSP must add them as members.



. . .

Give MODIFICATION permissions

If you want people to MODIFY the audit , you must add their email here, even if they already have viewing rights. You can invite anyone—FSP staff members, fellow auditors, co-workers, external partners, etc.—they just need a SPI online account to access the audit.



Type the email address of the people you want to add.

They will receive an email with a link to validate. If they do not have a SPI account, they will be asked to create one.

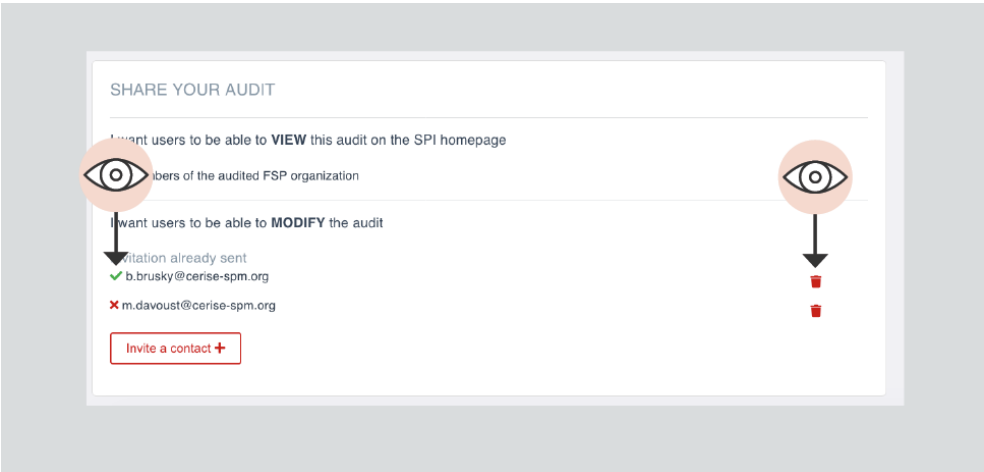
> IMPORTANT! There is no send button. Simply type the address and click on "Start online" or "Start offline" for your request to be validated.

. . .

How do I know who has MODIFICATION permissions?

The name of the invited person appears first with X. Then, when the person has accepted the invitation, it appears with a green check.

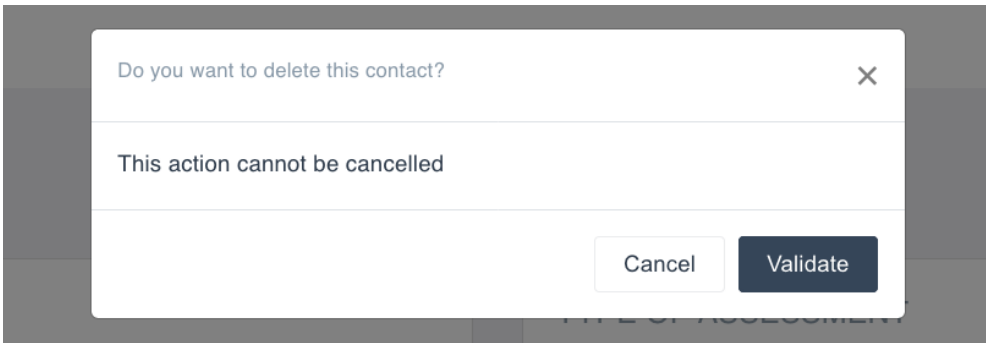
You can invite as many people as you want (but be careful, they will be able to modify and complete the audit, so you must be sure you work closely on the audit).



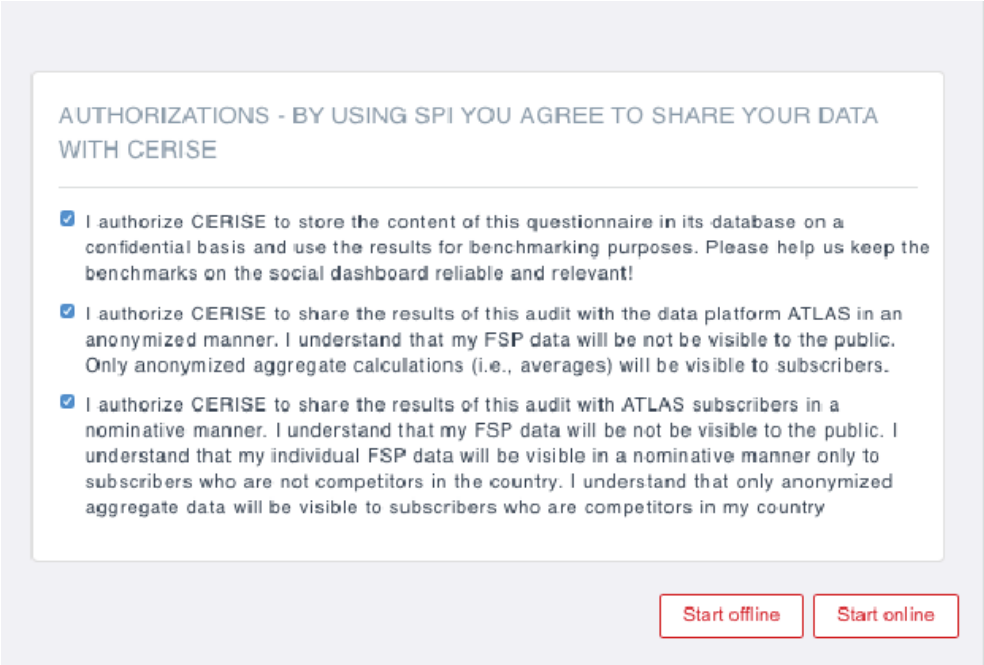
. . .

Removing modification permissions

To cancel an invitation to share an audit and takeaway modification privileges, click on the Trash icon next to the email addressof the contact you wish to remove and select "Validate ".



Authorizations and data sharing



By using SPI you allow CERISE to STORE your data

When you create an account on SPI online, your data (account and audits) is automatically stored online, safely and confidentially through CERISE's server OVH, based in France.

Learn more about our privacy and data protection policy.

. . .

CERISE will only USE your data with your authorization

One of the many benefits of collecting social data with SPI is that users can compare their results to a database of hundreds of audits worldwide. But we need your help to keep benchmarks reliable and relevant.

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 (MFR).

ATLAS centralizes data on pricing, social, green and financial performance. The centralized data is not

publicly available. The data is exclusively accessible for the subscribers to ATLAS (ex., financial service providers, investors, international networks, regulators), in compliance with a confidentiality agreement established between data providers (like CERISE) and ATLAS.

If you check this option, individual FSP data will not be publicly available or visible . Only anonymized aggregate calculations (i.e., averages) will be visible to subscribers to ATLAS.

Check the third box , and you authorize CERISE to share your data with ATLAS in a nominative manner. This means that users who have paid a subscription fee can see the scores by dimension of the audited FSP. Individual FSP data will thus be visible in a nominative manner only to subscribers who are not competitors in the country. Only anonymized aggregate data will be visible to subscribers who are competitors in the country. Download the brief prepared by the ATLAS to learn more about the benefits of reporting anonymized or nominative data.

Delete an audit (owners only)

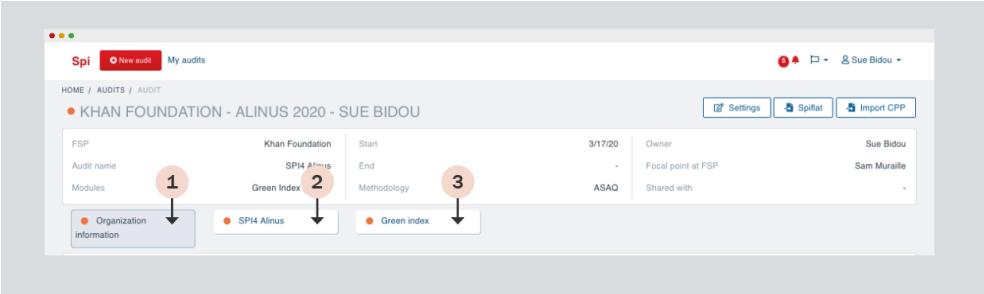
Only for Owners. Go to the audit "Settings " and click on "Remove " at the bottom of the page. Audits cannot be deleted once they are finished. If you need to delete a finished audit, contact CERISE at support@cerise-spm.org

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

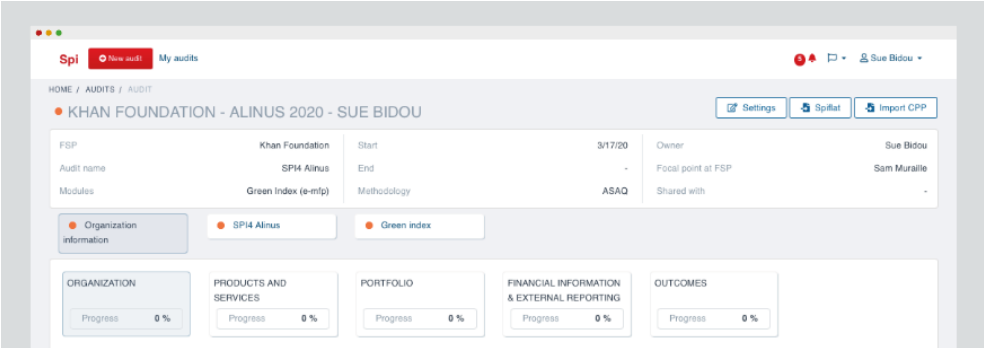
Auditing online

Navigation in the audit

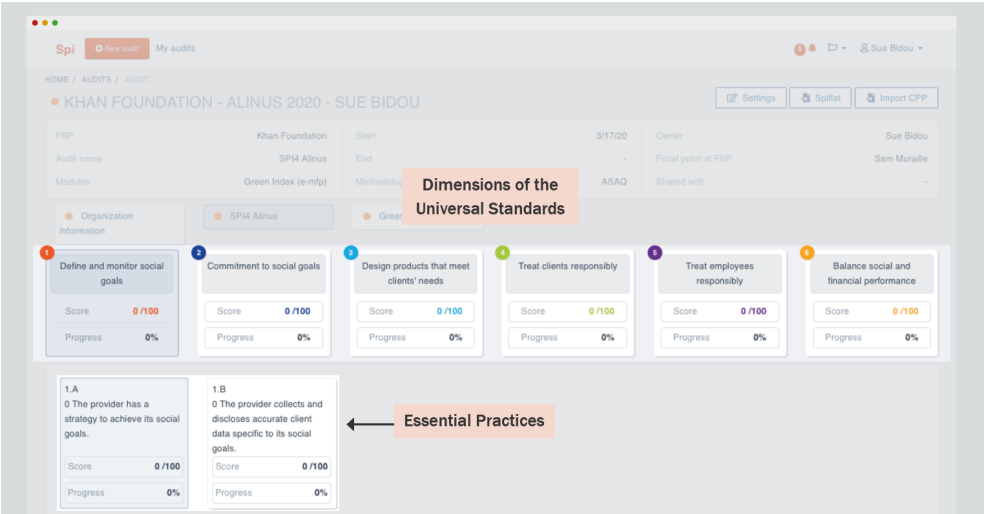
Navigate from one section to the next by clicking on each section.



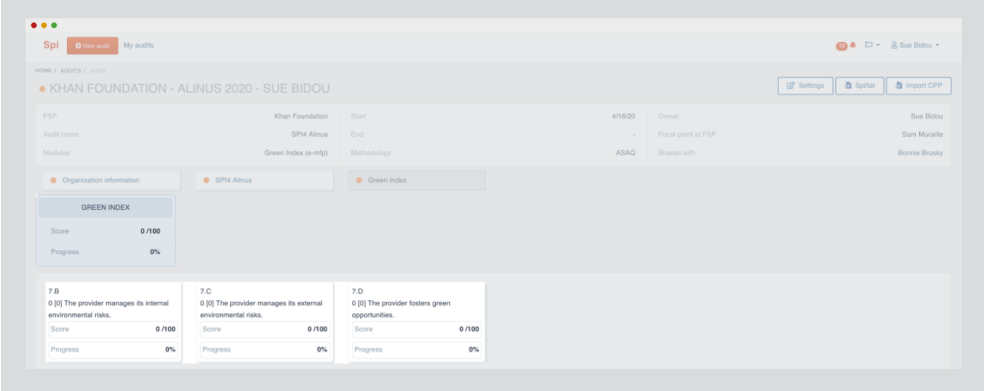
1/ Organization Information features mostly quantitative questions about your organization.



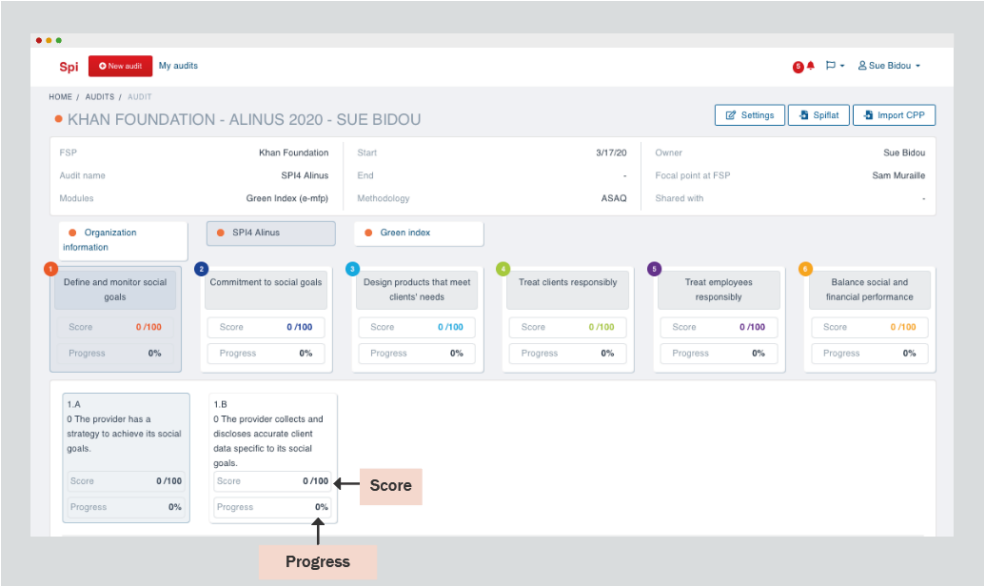
2/ SPI4 Full or SPI4 ALINUS contains the Questionnaire, with the qualitative indicators which are aligned with the Universal Standards and organized by Dimensions and Essential Practices. Click on each Dimension to access the questions.



3/ Green Index is optional for SPI Full audits and will appear only if you select it on the Audit Settings page. It will automatically appear for SPI4 ALINUS audits.



Progress and Scores



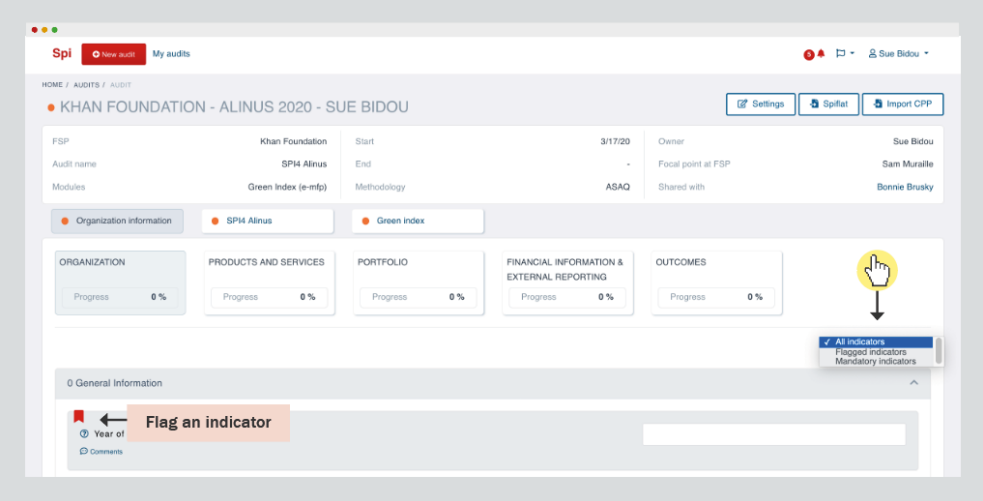
Score is calculated according to the answers you give while filling the questionnaire. All questions are weighted equally.

Progress is a percentage showing how much of the section has been completed. To finish your audit, you must answer 100% of the mandatory questions, indicated by a *

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

Filters

Filters in Organization Information section:

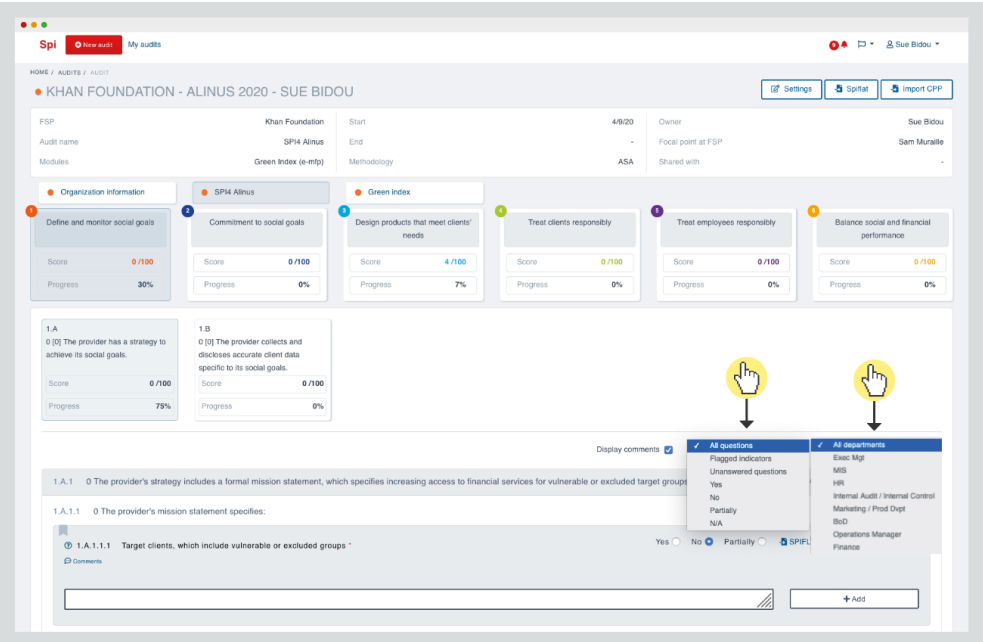


Filter by mandatory indicators to see only the indicators that must be completed to see results.

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

. . .

Filters in SPI4 and SPI4 ALINUS section:



Filter by indicators you flagged or by the answers given to the questions:

- Unanswered questions
- Yes
- No
- Partially
- N/A

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.

Comments

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

1/ Click on Comments to open comment box.

2/ Make sure to click on Add to save the comment.

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.

See examples of the kind of comments to provide in the sample audit in the SPI resources or in the Audit Guide.

> IMPORTANT!
> Several users can comment an indicator. Their comments will appear with their name and time of comment, below the comment box. The time that appears is Paris time . This cannot be changed!

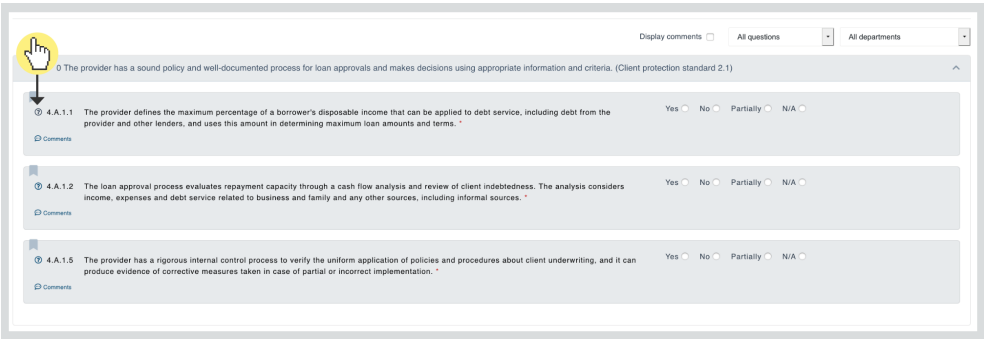
Fill in the audit with other people

When you invite people to MODIFY the audit, then they can change the answers and add comments .

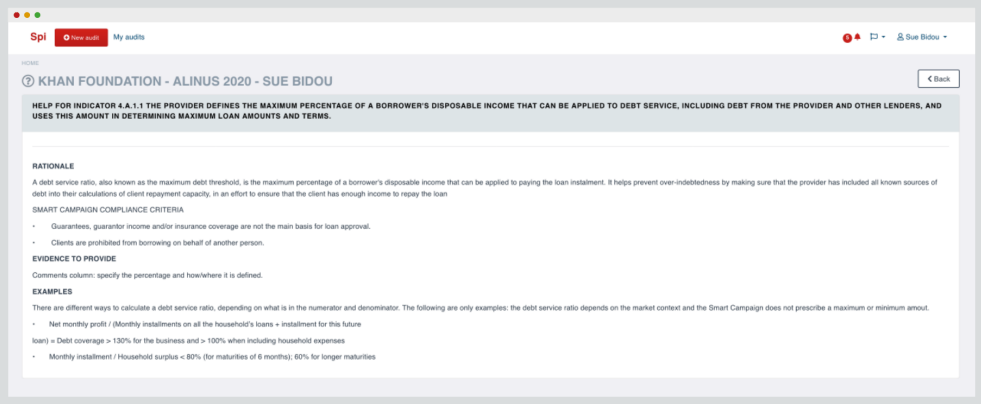
> IMPORTANT!
> In the current version, when a user changes the answer, it is NOT registered in the comments log. This means you cannot identify WHO has changed the answer.
> We recommend you ask co-auditors to add a comment when they change an answer in order to 1) justify the change and scoring and 2) you can track who has changed the answers!

Tips

Click on the the question mark next to the indicator code...

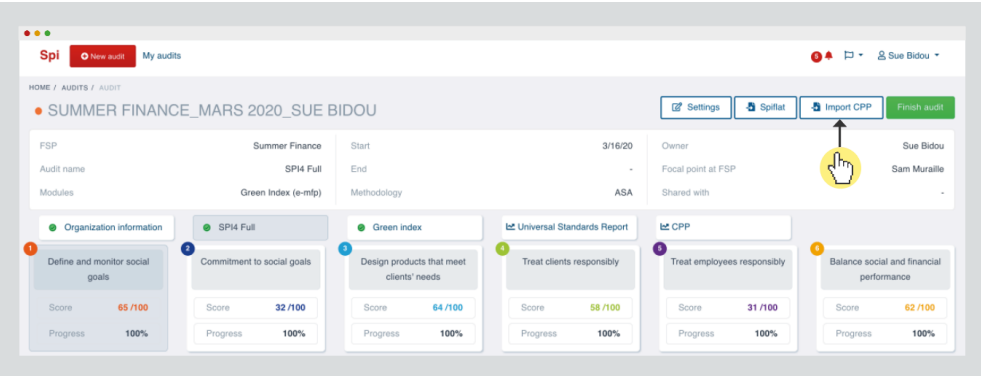


...to open up guidance for the indicator from the Audit Guide: how to interpret, score and comment the indicator, and examples.



Client Protection (CPP) import

If you have a recent Client Protection Assessment or Certification Excel file, you can import your results to SPI. Follow the same steps as for a SPIflat.



More questions? support@cerise-spm.org

Auditing offline

How to audit offline

You can conduct a SPI4 Full or ALINUS audit offline, by downloading from SPI online a macro-free Excel file called SPIflat.

This option has been developed in case you need to work without an Internet connection at some point of your audit (e.g., during the field visits in the branches).

You can export a SPIflat at any time during the audit process.

Once you are done auditing offline, you must import the SPIflat (fully or partially completed) back into SPI. This is required to generate results.

SPIflat

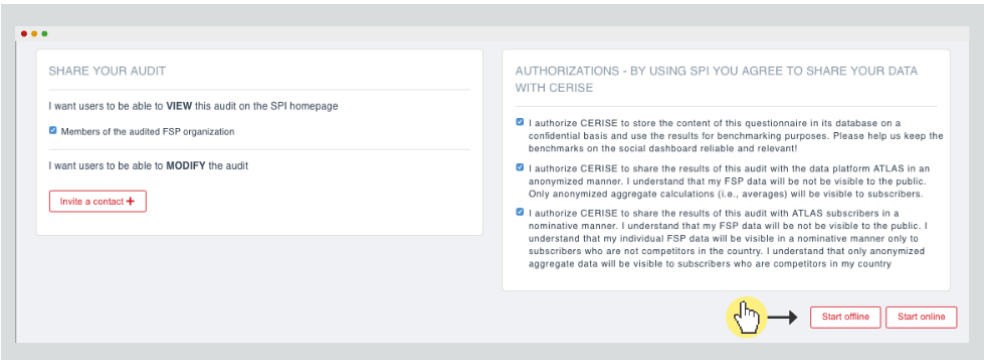
A SPIflat is a macro-free Excel file that you can download on your computer to conduct or continue your audit offline. A SPIflat file contains the Welcome Page, the Organization Information section and Questionnaire populated with the questions from SPI4 Full, ALINUS and Green Index, depending on what type of assessment and optional modules were chosen in the Audit Settings page.

SPIFlat is an "input" form—it does not provide scores or results dashboards, which you can download once the audit is 100% complete.

Use SPIflat to send external partners and stakeholders who do not have a SPI account, for you to share your progress and ask for contributions, for instance.

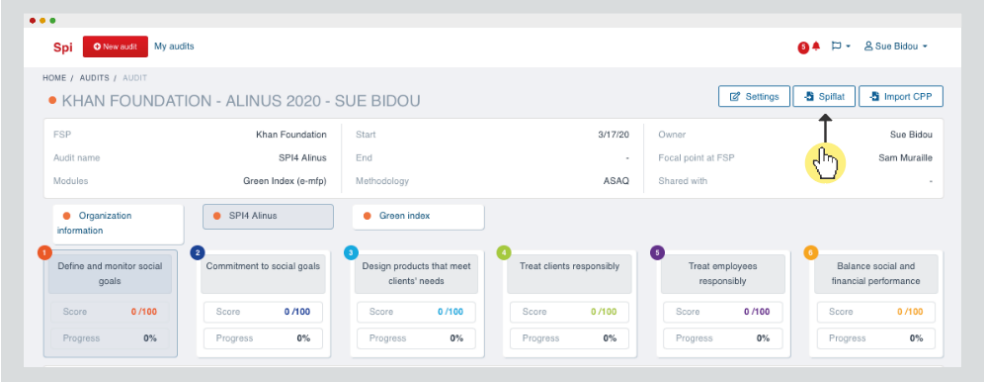
How to export a SPIflat

A SPIflat will automatically download to your computer if you "Start offline "...

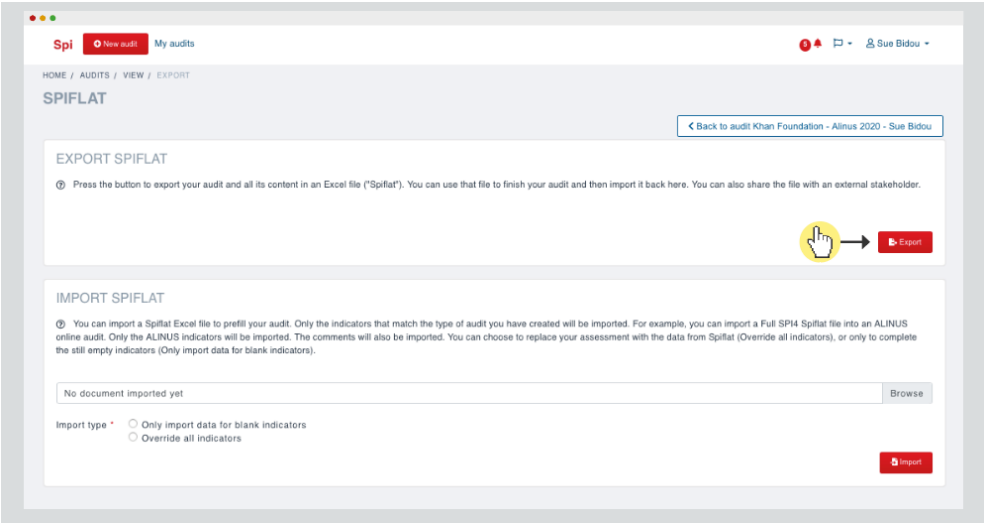


... or you can download it any time during the audit process.

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

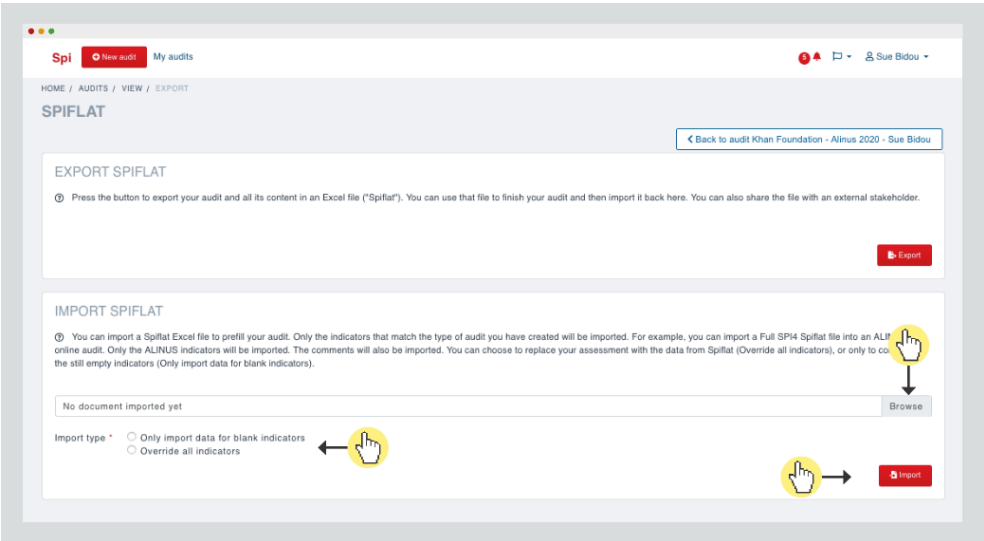


2/ On the next page, click on Export and a SPIflat will be downloaded on your computer.



How to import SPIflat into SPI online

Import a partially or fully completed SPIflat into SPI at any time, to continue auditing online or to generate your scores and dashboards (once the audit is 100% complete).



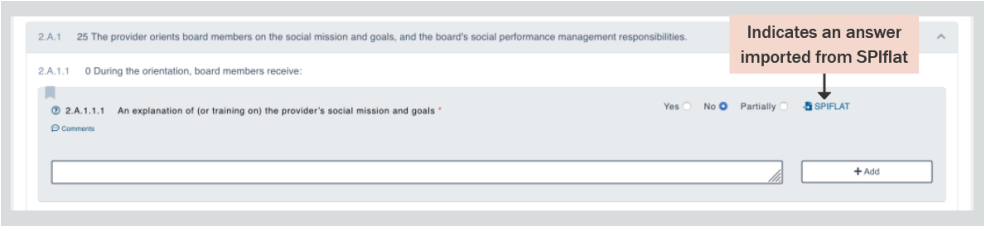
1/ Browse to find your Excel file on your computer.

2/ 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

3/ Click on Import

Answers coming from your SPIflat will be visible online with a sign on the right side of each indicator (see picture below). If you change an answer coming from SPIflat, this sign will disappear.



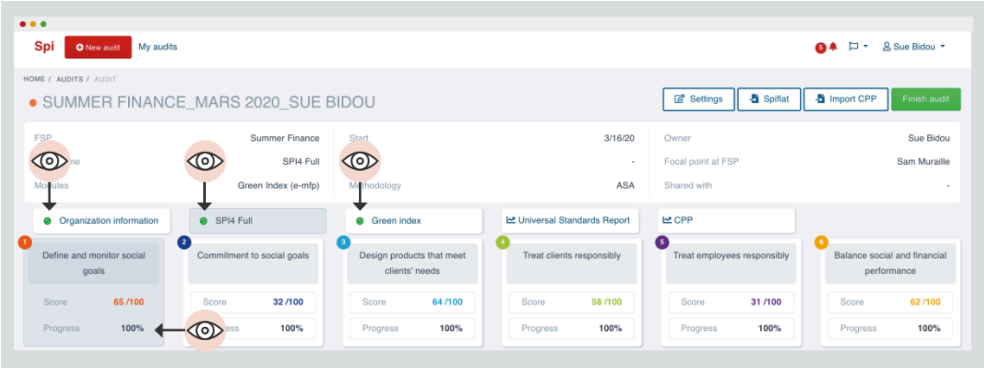
Problems with importing? Contact support@cerise-spm.org

See audit results

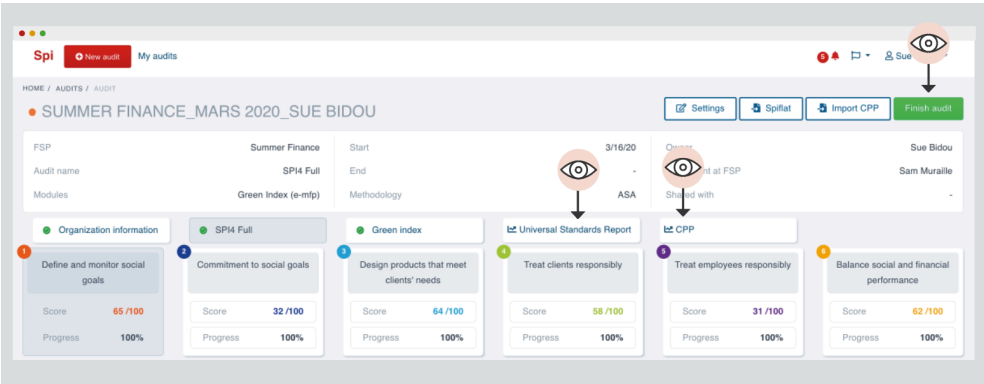
How to see audit results

You can se audit results once you complete all sections (and all mandatory indicators).

Progress must be at 100% and you will see a green dot.



The Universal Standards Report and Client Protection Report buttons will appear, as well as the "Finish audit" button.

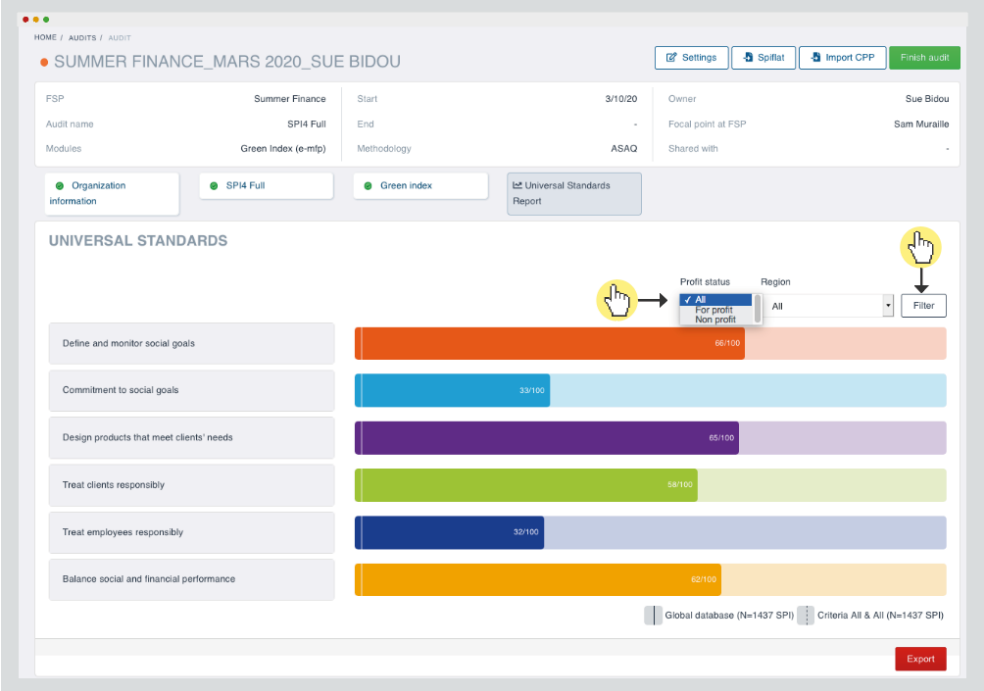


How to see results with benchmarks

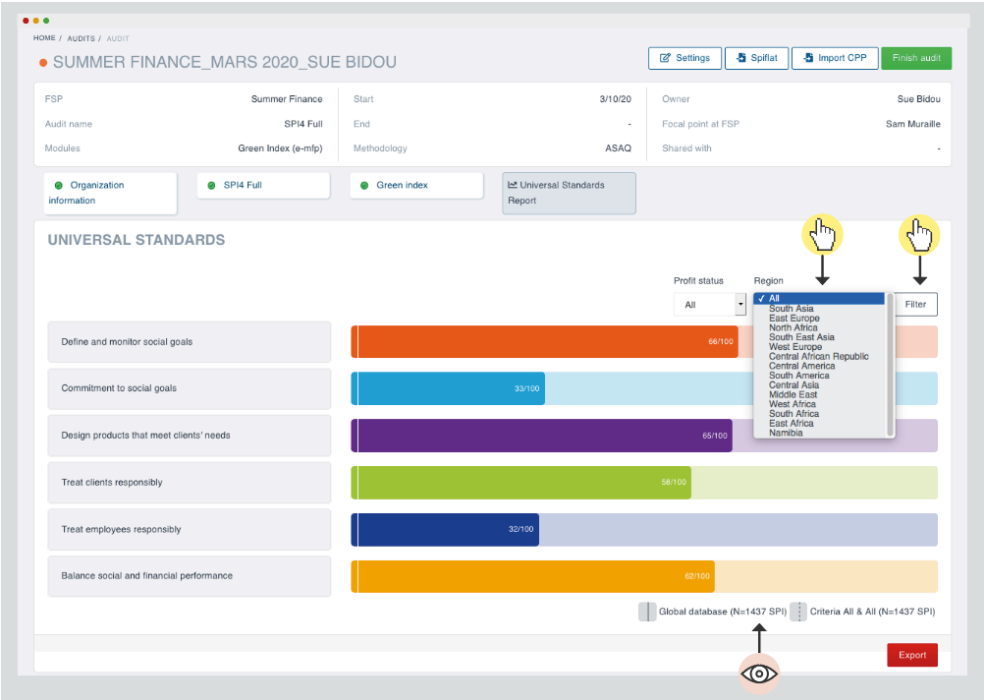
SPI online gives immediate access to real time benchmarks.

Benchmarks come from high quality audits in the CERISE database. CERISE reviews incoming audits and gives each one a quality score based on the level of completion, quality of comments, and the auditor's experience.

Add benchmarks for profit or non profit peers by selecting profit or non profit, then click "Filter":



Add benchmarks for regional peers by selecting the region, then click "Filter ":

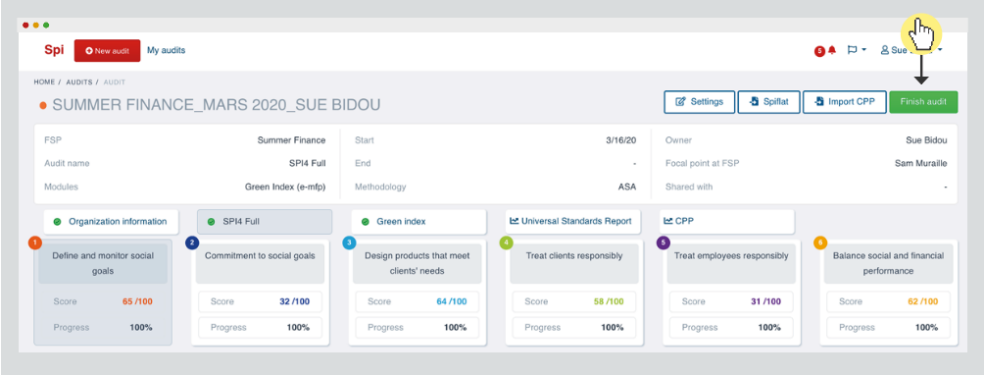


The number of audits used for the benchmark appears on the bottom right side, under the graph.

You can also download benchmark tables in Excel for SPI4 and ALINUS (updated quarterly—the SPI online benchmarks are updated in real time based on the audits entering the database).

Finish an audit

When you click on "Finish audit ", CERISE receives a notification to review your audit in order to integrate it into the SPI4 database and determine if it can be used in the benchmark analysis.

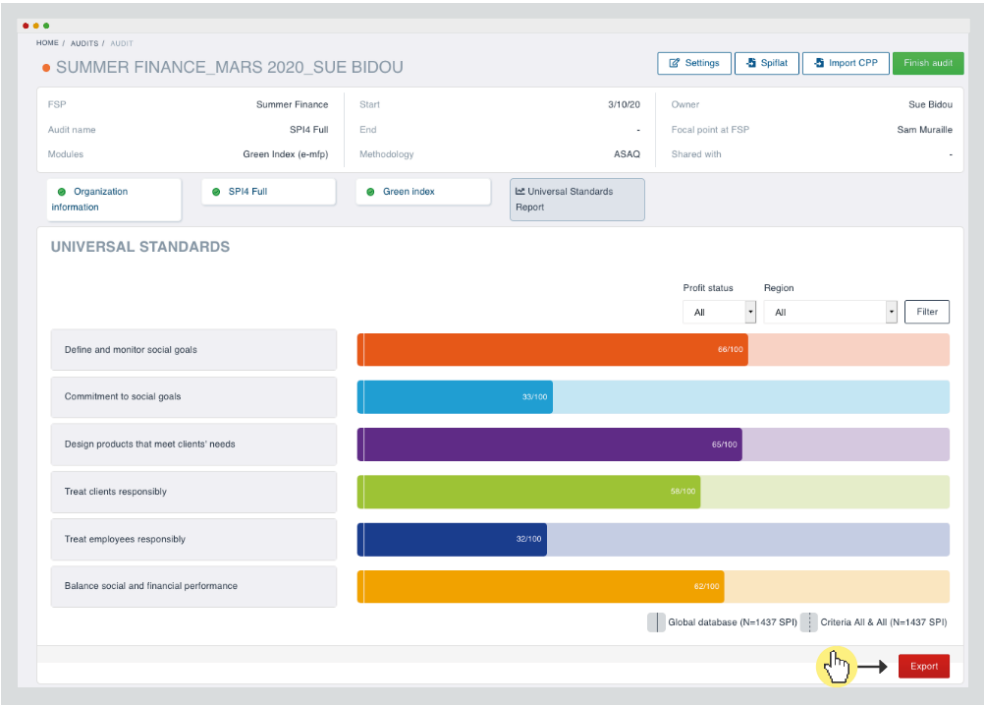


IMPORTANT! Once you click on "Finish audit", the audit is locked, and you cannot make changes anymore. But don't worry, you can ask CERISE to unlock your audit if necessary at support@cerise-spm.org.

Download results

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

From the Universal Standards Report page, click "Export":



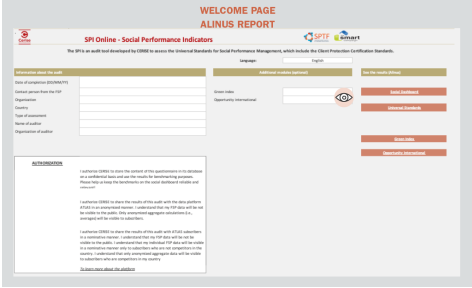
Be patient , it takes some time to download!

Save the Excel file on your computer.

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

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

Welcome Page of SPI4 Full Report



Welcome Page of ALINUS Report

DID YOU KNOW? Even with an SPI4 Full audit, you can have access to ALINUS results!

See the list of investors who use ALINUS or ALINUS indicators as part of their social due diligence, and who may be interested in see your ALINUS assessment before their visit!

Still need help? support@cerise-spm.org

Glossary

ASA or Accompanied Self-Assessment

The audited Financial Service Proviced is accompanied by an External auditor.

ASAQ or Accompanied Self-Assessment by a Qualified Auditor

The audited FSP is accompanied by an External auditor who has gone through the qualification process with CERISE. See the list of qualified auditors.

Client Protection (CPP)

Client Protection Principles, also known as the Client Protection Certification Standards, promoted by the Smart Campaign. If you have a recent Client Protection Assessment or Certification Excel file, you can import your Client Protection results to SPI online.

Focal point

If you are first person of your organization (FSP or non-FSP) to create an account on SPI, you automatically become your organization's Focal point on SPI. Focal points have two responsibilities:

- You are the only user able to edit your organization's profile (country, name)
- You are the only user able to add members to your organization

The co-workers that you add as Members of your organization 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 creation.

Green Index

Optional module for FSP to assess environmental performance. Adds additional indicators for a deeper analysis of environmental aspects.

Green Index is developed by e-MFP Green Inclusive & Climate Smart Finance Action Group.

More information on the Green Index

Owner

The Owner of an audit is the person who created it. Only the Owner is able edit the 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 need to change the Owner of the audit, please contact CERISE at support@cerise-spm.org

SA or Self-Assessment

The FSP is audited by a FSP staff member.

SPIflat

A SPIflat is a macro-free Excel file that you can export to your computer to conduct or continue your audit offline. A SPIflat file contains the Welcome Page, the Organization Information section and Questionnaire populated with the questions from SPI4 Full, ALINUS and Green Index, depending on what type of assessment and optional modules were chosen in the audit settings page.

SPIFlat is an "input" form—it does not provide scores or results dashboards, which you can download once the audit is 100% complete.

Use SPIflat to send external partners and stakeholders who do not have a SPI account, for you to share your progress and ask for contributions, for instance.

Suggestions, questions? support@cerise-spm.org

FAQ

I can't create my account, why do I get an error message?

Error: This email address already exists.

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. Please contact its administrator to create an account.

This means that someone in your organization has already created an account and is the Focal point for your organization.

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

Who should be the Focal point within my organization?

The Focal point should be a person who knows the organization's staff members and is willing to manage the organization's account on SPI online.

It might not be the person who will fill in the audit . The audit can be filled by an external auditor, for instance. Depending on the size and internal organization of the FSP, it can be for example the CEO, the Operations Manager, the SPM Manager, etc.

CERISE'S RECOMMENDATION
In the case of a Self-Assessment, ideally the person in charge of the online audit is the Focal point. However, if the Focal point and the person in charge of the audit are two different persons, make sure to write the auditor's name in the title of your audit .

I want to create an audit for an organization that has already been audited, but I do not know the name of the Focal point. What do I do?

If you are a staff member of the audited FSP, the "Name of the Focal point at FSP" will be automatically filled in.

If you are an External auditor, as long as you fill in the FSPs name correctly (i.e. the way it is registered in SPI online) , the "Name of the Focal point at FSP" will be automatically filled.

See the list of FSP names as they are registered in SPI online. The next update to SPI online will include the FSPs names in a drop-down list!

If the "Name of the Focal point at FSP" is not automatically filled in, this might mean that the FSP does not yet have an SPI account. Contact support@cerise-spm.org and the FSP to facilitate the account creation process.

When I create an audit, I cannot find the name of the audited FSP in the drop-down list. What do I do?

This means this FSP has not registered on SPI yet. Contact support@cerise-spm.org and the FSP to facilitate the registration process.

Who should create the audit (and become Owner)?

The FSP is conducting a Self-Assessment (internal audit):

In this case, we suggest that the person in charge of conducting the audit creates the audit. This might be the FSP Focal point but not necessarily. Remember, the person who creates the audit becomes the Owner and is the only one who can manage sharing permissions, and invite others to take part in the audit.

. . .

The FSP is accompanied by an External auditor during the audit process:

The FSP Focal point or the External auditor can create the audit.

CERISE'S RECOMMENDATION
We suggest that the FSP's Focal point creates the audit, which makes him/her the Owner, and invites the External auditor to modify the audit. That way, FSPs are sure to be able to visualize the results of their audits.

If the External auditor creates the audit, he/she becomes the Owner and must invite the FSP staff to VIEW or MODIFY the audit.

If the External Auditor does not invite FSP staff, the audit will not be associated with a FSP or the country of operations, and the name and country will not appear on the results dashboards.

How much time do I have to conduct my audit?

You do not have a time limit to conduct your audit. You can finish it when you have completed 100% of the questionnaire.

How can I be sure my data is saved?

SPI automatically saves the changes you make. Your session will stay logged in for 2 hours even if you are not active. If you are not active for 2 hours, you will be automatically logged out of your account, but there is no message to signal this in the current version. You must log in again to make sure any changes you make are saved.

> CERISE'S RECOMMENDATION
> If you are inactive for longer than 2 hours, you should manually log out and log in again to your account, to make sure all new changes are saved.

How can I be sure my data is secure?

Please read about data security here.

Completing vs finishing an audit?

Complete an audit means you have filled in 100% of the mandatory indicators. You can see the Universal Standards Report, Client Protection Report, and you can export your results into an Excel file.

Finish an audit means CERISE receives a notification to review your audit in order to integrate it into the SPI4 database and determine if it can be used in the benchmark analysis. It is important to finish an audit, so that the SPI4 database contines to grow and provide users with relevant benchmarks!

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.

I received an email inviting me to take part in an assessment. What does it mean?

It means that the person who created the audit wants you to access this audit on SPI.

You can make changes and add comments.

To access the audit, click on the link in the email you received. Then, create an account or login.

The audit that you have been invited to will appear on "My audits" page.

I received an email that tells me that I am registered as co-worker of my organization. What does it mean?

This email means that your colleague wants you to be part of the organization on SPI. Follow the link to sign up or log in on SPI.

On “My audits” page, you will see any audits that your colleague shares with you.

I did not receive my email of invitation / my email to reset my password

Check your spams! Sometimes, emails from SPI end up in your Spam inbox. Make sure you mark the address used in the email as non-spam to avoid having this issue in the future. If you don’t see it there, contact CERISE at support@cerise-spm.org.

Why won’t my scores update?

Progress and scores only update when you click on another section.

I get an error message when I try to open the SPI report? Why can’t I open it?

With certain browsers, including Mozilla Firefox, it is not possible to open the file directly. You will need to download the file on your computer then open it.

More questions? Suggestions? support@cerise-spm.org