



**Self Help
Africa**



Compliance Newsletter

SPRING 2019

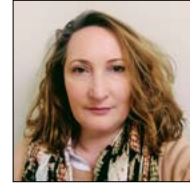
INTRODUCTION

This newsletter will be released three times a year, and will highlight any updates, changes in policy, stories from the previous quarter, introduce the Donor Compliance Team (through our “Getting to Know” feature) and introduce the Internal Audit, Governance and Safeguarding Staff.

We will look at and explain specific donor concepts (through our “Focus On” feature), highlight key donor compliance questions that have been raised by staff in HQ and country offices, highlight internal and external learning opportunities, and share recent donor policy updates. We will keep you posted on compliance, internal audit and safeguarding

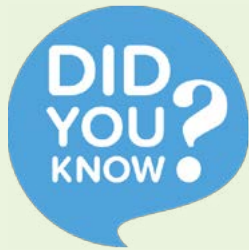
visits. If you would like to submit any other ideas for the newsletter, please reach out to me directly.

Alison Duffy
Compliance & Finance Manager
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“COMMITMENT NOT COMPLIANCE”

Moving from the idea that “I have to” because it is a rule to “I want to” because it is the right way to behave and live are the core values in our Code of Conduct.



Donors require us to keep copies of all boarding passes. If a boarding pass is on your phone, take a screenshot and send a copy to country finance team as a record. Keep a copy on Salesforce in your PECl area.

NEW POLICIES

Two new policies were approved by the Board of Directors of Self Help Africa in Nov, 2018, and apply to all entities.

ANTI-TERRORIST AND SANCTIONS CHECKING POLICY (ATSC)

WHY – The new ATSC Policy was drafted in response to donor requirements (USAID, WFP, UN etc.), to ensure we take reasonable efforts to ensure donor funds are not used to finance, support or fund terrorists or prescribed organisations.

WHO DO WE CHECK – We are required to check Directors, affiliates, and any suppliers with a cumulative spend of greater than €1k per annum, and any staff, partners, consultants or contractors that supply services or support SHA in any other way.

HOW – The ATSC Policy is monitored through Salesforce and/or on request to donor compliance.

WHERE CAN I FIND THE POLICIES? - The policies can be found on [Salesforce](#), or in a folder titled ‘SHA Resources’ on our company [Box](#) drive.

HUMAN RIGHTS & ANTI-TRAFFICKING POLICY

WHY – Self Help Africa recognises the principle that we will respect others and succeed together and does not support the trafficking of persons. Having a policy demonstrates our commitment to these principles.

WHO DOES IT APPLY TO – SHA Board, staff and subsidiaries, partners and affiliates, Consultants, contractors that supply services or support to SHA.

HOW DO WE ENSURE COMPLIANCE – through Code of Conduct training, T&Cs for suppliers, Anti trafficking posters, a supplier Code of Conduct in all Tenders and reporting.

EU INTERIM REPORTS

The due date for EU reports is 1 March 2019 at the latest. The template for the report was shared with each country as an appendix to your contract (Annex IV).

SECURITY

The security of employees is of the highest priority for the organisation. The Country Director must ensure that the security situation in country and SHA’s preparedness is constantly reviewed. Every country programme must update its threat and risk assessment within its country security guidelines on a calendar quarterly basis.

Appropriate security training and practice must be organised and employees are regularly briefed on the security situation and security guidelines that are in place in their locations. Want to know more? Visit the Security folder on [Salesforce](#).



FOCUS ON: EU INTERIM REPORTS

With the exception of the WG4 grant all of Self Help Africa's EU grants require Interim reports to be sent to the EU within 60 days of the year end.

The template to be used was shared by the EU with the contract. It is called 'Annex VI' for both the narrative and financial documentation.

This means that the last day for reporting will be 1st March 2019.

If you have any compliance questions please get in contact.

Callouts in the image:

- Copy/paste last approved budget
- Report possible allowed changes from original budget
- Report expenditure incurred during the reporting period
- Total expenditure to date
- Show variations with initial budgets/reallocations

Interim financial report: period (dd/mm/yyyy-dd/mm/yyyy)	Budget as per contract/addendum				Reallocation		Expenditure incurred				Variation in comparison with initial budget/reallocation	
	Unit	# Units	Unit value (in EUR)	Total Cost (in EUR)	allowed reallocation (article 9.4 of the GC)	# Units	Unit value (in EUR)	Total Cost (in EUR)	Cumulated costs (before current report) (in EUR)	Cumulated costs (from start of implementation to present report included) (in EUR)	Difference of cumulated costs till present and budget as per contract/addendum (a) = c (or f) - e	Variation from budget as per contract/addendum (b) = g/c (or f)
Expenditures	(a)	(b)	(c)=a*b	(d)	(e)	(a)	(b)	(c)=a*b	(d)	(f)=e+d	(g) = c (or f) - e	(h) = g/c (or f)
1. Human Resources												
1.1 Salaries (gross amounts, local staff)												
1.1.1 Technical	Per month											
1.1.2 Administrative support staff	Per month											
1.2 Salaries (gross amounts, expat/int. staff)	Per month											
1.3 Per diems for misanthro/level	Per diem											
1.3.1 abroad (staff assigned to the Action)	Per diem											
1.3.2 Local staff assigned by the Action	Per diem											
1.3.3 Seminar/conference participants	Per diem											
Subtotal Human Resources												
2. Travel												
2.1 International travel	Per flight											
2.2 Local transportation	Per month											
Subtotal Travel												
3. Equipment and supplies												
3.1 Purchase or rent of vehicles	Per vehicle											
3.2 Furniture, computer equipment												
3.3 Machines, tools, etc.												
3.4 Spare parts/equipment for machines, tools												
3.5 Other (specify quantity)												
Subtotal Equipment and supplies												
4. Local office												
4.1 Vehicle costs	Per month											
4.2 Office rent	Per month											

TIMESHEETS

All staff must prepare timesheets each month, and have these approved by your line manager. In 2019, compliance with this requirement will be tracked and reported.

QUESTION OF THE MONTH:

I notice there is a new PRAG on the EU website, is this the one that applies to my grant?

ANSWER: The PRAG that applies to your grant will be the one in force when the contract was offered.

You find out which version is the correct one by looking at the bottom left hand of your Annex II General Conditions.

EXAMPLE: 15 January 2016
e3h2_gencond_en.pdf

Older versions of PRAG are found on the EU website.

TRAINING OPPORTUNITY: There is a PRAG e-learning on the [EU website](#) that is free to do and you receive a certificate at the end. The training is found here under [Tools](#).

GETTING TO KNOW YOUR COMPLIANCE OFFICER

VICTOR SHEKI, MALAWI



Q. How long have you been with SHA?

A. 9 months

Q. Favorite hobbies?

A. Travelling

Q. Sports?

A. Hiking

Q. What do you enjoy about your role

A. Interactions with partners during exit meetings. It gives me the chance to learn more.

Q. What would make your job easier?

A. Attach activity reports to Advance liquidations; and Include copies of log sheets to fuel expenditure charges.

WHISTLE-BLOWING: If you are concerned about the existence of wrongdoing in the workplace please report in confidence either directly to a senior staff member or through our external facility Expolink. If you feel you cannot report locally - Call our HQ at +353 1 6778880 and ask to be called back - Send an SMS to + 353 87 2404343 and ask to be called back - E-mail: confidential.reporting@selfhelpafrica.org with details of the issue. Or Report through our external facility: - Phone Expolink*: + 44 1249 661808 and ask to be called back - E-mail: selfhelpafrica@expolink.co.uk - Web report: <https://wrs.expolink.co.uk/selfhelpafrica>

For information about Self Help Africa's policies and procedures please contact:

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