

Training of auditors information

HQAI is a young and rapidly growing NGO. Since 2016, more than 50 organisations have used HQAI's services and we contracted 27 independent auditors from 14 different countries to create a significant auditing capacity. In 2019 alone the audits led our auditors to more than 20 countries in Asia, Africa, South America and Europe.

HQAI's business projections for the next five years are promising and we are looking to increase our global pool of registered auditors.

Are you an independent consultant? Do you have experience of quality assurance in the humanitarian sector or in other sector or quality standards? Do you have experience in financial auditing?

Read more about what it takes - and what it means - to join our team of auditors.

1. About HQAI

HQAI provides organisations with third-party quality assurance services grounded in feedback from vulnerable and at-risk people and communities. HQAI verifies that organisations work according to defined standards throughout an organisation - from its head office to its work in the field. HQAI's services are intended to build capacity in the sector and provide consistent measurable data on the delivery of quality action. HQAI aims to support improvements in principled, accountable and efficient provision of humanitarian programming for vulnerable and at-risk populations.

Professional independent quality-assurance is generally considered the most robust means to generate a reliable and objective assessment of the extent to which a standard is applied. This benefits affected populations and communities, audited organisations, donors and the entire sector.

To all its stakeholders, HQAI is an accountable, open and trustworthy partner, which applies internationally recognised ground rules of auditing which are impartiality, competence, responsibility, openness, confidentiality and responsiveness to complaints. Our policies, procedures and tools for independent quality assurance follow relevant ISO standard requirements.

2. What does it mean to be an auditor at HQAI?

Auditors are the backbone of HQAI and are often our most visible representatives. We value their work and we are very attentive to the recruitment and training process of auditors. Auditors conduct third-party audits as per HQAI's independent quality assurance procedures and the requirements of the applicable standards. Currently, HQAI works with the Core Humanitarian Standard on Quality and Accountability (CHS). Tools related to other standards may be developed in the future.

We operate with a pool of independent auditors who are registered with HQAI, which means that they have successfully completed HQAI-specific training (see chapter 4). Auditors are responsible to collect and analyse sufficient information to generate objective and impartial audit conclusions. Based on their findings, auditors provide recommendations whether or not certification (or registration under the verification scheme) should be granted. This process happens in very close cooperation with HQAI's quality assurance team, which is responsible for the control of the quality of audits and reports.

Once registered auditors have acquired enough audit experience with HQAI, they can become senior auditors. Senior auditors are responsible for the management, control and performance of auditing activities, and also assist in the training and supervision of new auditors.

Auditors working with HQAI are active members of the humanitarian and development eco-system. Through the audits, they have unique opportunities to thoroughly assess organisations of different sizes and types, in various contexts, from the head office to the field. Auditors travel to different countries and locations for onsite visits as part of the audit process. HQAI has security policies in place and offers its auditors a comprehensive travel and risk insurance.

Our auditors are qualified professionals from different backgrounds and with different experiences as auditors and/or in the humanitarian and development sector. HQAI offers regular opportunities for trainings and joint auditor meetings (virtual and online) to foster exchange and mutual learning. In addition to this peer support, HQAI's quality assurance team offers constant support during audits and beyond and conducts regular quality-controls to ensure each auditor remains up-to-speed.

You can find a summary information on projected auditor revenues in Annex 1.

3. Required Auditor Profile

Qualities:

The attitude and performance of auditors strongly influences HQAI's image and the professionalism of its services. A number of essential qualities are therefore critical in the selection process and are assessed regularly during the training path and beyond. HQAI auditors should be:

- Ethical, i.e. fair, truthful, sincere, honest and discreet
- Open-minded, i.e. willing to consider alternative ideas or points of view
- Diplomatic, i.e. tactful in dealing with people
- Perceptive and observant, i.e. instinctively aware of and able to understand situations
- Decisive, i.e. reaches timely conclusions based on logical reasoning and analysis
- Impartial and objective, i.e. ability to make unbiased audit observations and conclusions
- Professional, i.e. exhibiting a courteous, conscientious and generally business-like conduct in the workplace.

Experience:

Auditors with HQAI should have the following work experience:

- At least 10 years work experience in the humanitarian sector in strategic levels implementing quality or accountability management systems or 7 years as an auditor in ISO 9001, ISO 14001, ISO 37001, ISAE 3000, institutional donors due diligence assessments and other relevant quality management system standards.
- In principle, auditors need to be able to prove their status as independent consultant. We request that candidates provide two credentials from previous recent employment positions or consulting assignments.

HQAI is currently developing its capacity to audit against new sets of standards and core donor due diligence criteria. Applications from consultants with proven financial auditing experience will be given priority. Experience with ECHO, DFID, DANIDA assessments would be a plus.

Skills:

We require auditors to have the adequate skills to:

- Apply audit principles, procedures and techniques
- Plan and organise their work effectively so as to conduct the audit within the agreed time schedule
- Prioritise and focus on matters of significance while collecting information through effective interviewing, listening, observing and reviewing documents, records and data
- Understand the appropriateness and consequences of using sampling techniques for auditing
- Verify the accuracy of collected information, and ensure the sufficiency and appropriateness of audit evidence to support audit findings and conclusions
- Assess factors that can affect the reliability of the audit findings and conclusions
- Communicate effectively with all stakeholders involved in each audit.

Furthermore, applicants in the training path must be highly proficient in spoken and written English. French, Spanish, Arabic and other languages are a plus.

4. Becoming a registered HQAI auditor

Becoming a registered auditor is a multistep process.

- Auditors must demonstrate their qualifications and experience in the humanitarian and/or auditing sectors to apply for HQAI training.
- If accepted, candidates start HQAI's training path, which begins with a number of trainings (e-modules + online training) and are required to take a final test (mock audit) which is evaluated by HQAI's quality assurance team and trainers.

Only those who pass the final test at a sufficient level are accepted to become registered auditors for HQAI and continue their audit practice training under the supervision of HQAI senior auditors. While we do our utmost to support candidates, we cannot guarantee that all will be successful. The decision of HQAI is final.

4.1 What is the training path to become an HQAI registered auditor?

1. Send a 5 minute video explaining why you are interested in becoming an HQAI auditor, as well as a current CV, two credentials/references from previous employment or consultancy positions.
2. Provide proof of successful completion of an internationally recognised ISO 19011 Lead Auditor course.

We recommend (if you want to use another training please check with HQAI if it would be accepted): <https://www.sae.org/learn/professional-development/caliso/iso-19011-2011-auditor-training>

Note that proven experience as management system auditor, finance auditor or similar can be taken into account in replacement of this requirement.

3. Take an online introductory course on the CHS. You can find the course here: <https://kayaconnect.org/course/info.php?id=260>
4. Proof of successful completion of the training will be required for registration to HQAI's e-learning module. If you deem your past experience satisfies this requirement, please contact us.
5. Take **HQAI e-learning** modules that deliver essential knowledge and skills required to become an auditor for HQAI (please see chapter 4.2 for more information)
6. Successful completion of the e-module will be required for registration to HQAI's online auditor training.
7. Successfully complete an **online auditor training**, delivered by HQAI. A test has to be passed at the end of the training (please see chapter 4.3 for more information).
8. Successfully put your training into practice by taking an active role in **at least two CHS audits for HQAI**, under the supervision of an experienced HQAI senior auditor. The senior auditor will observe and assess your performance during these two audits and report back to HQAI on this for further assessment.

4.2 Details of the e-learning module

When can I access the e-learning and take the test?

You will receive access to the e-learning module at the end of May, upon registration and payment of the fees for this part of the training path. The e-learning module should take 8 hours to complete and finishes with a validation test.

What do you learn?

The course provides a comprehensive understanding of how to conduct a professional third-party audit in the humanitarian and development sector, in alignment with ISO 19011:2011, Guidelines for auditing management systems.

You will learn the key principles of effective audits and understand the knowledge and skills required to conduct a full audit against the CHS in accordance with HQAI procedures.

Main contents:

- Basic concepts of auditing in line with ISO 19011 "Guidelines for auditing management systems"
- Introduction to the specific tools for HQAI audits
- Effective collection of information
- Communicating results and reporting efficiently
- Post-Audit management.

At the end of the module you are asked to take a test. **Only applicants who have obtained satisfactory results (80% and above) can register for the online auditor training.**

Fee for the e-learning

The fee for the e-learning module is **370 CHF**. An invoice is sent upon registration. Admission to the e-learning platform is granted to applicants once HQAI has received this fee payment.

4.3 Details of the online auditor training

An online training takes place after successful completion of the previous steps of the training path. This is a five-day (3 hours/day) online training course which builds on the knowledge already acquired in the e-learning module. It develops some key practical aspects of auditing methodologies and puts learnings into practice through case studies, group work and exercises. The course tutors are senior HQAI auditors and bring real-life auditing experience into the training.

Course content:

- Preparing a successful audit
- Evidence-based and risk-based approaches and techniques
- Collection, review and analysis of evidence
- Techniques of interview, focus groups and sampling of documents
- Interpretation of the standard (CHS)
- Reporting on initial and surveillance audits
- Case studies and practical exercises.

You will be tested during the training through the simulation of a real audit. This is the opportunity to assess your ability to put your knowledge into practice, your writing and reporting skills, and the ability to communicate clear findings and conclusions based on facts.

After successfully completing this training you will be registered as HQAI auditor. This allows you to be enrolled in real-life audits under the supervision of senior auditors.

Fee for the online auditor training:

The fee for the online training is **560 CHF**.

4.4 Summary cost of the training path

1. ISO19011 e-learning: 199 USD
2. HQAI E-learning module: 370 CHF
3. Online training: 560 CHF

If costs are a barrier for you to apply, please contact the HQAI secretariat to discuss options.

5. Registration questions and contact

If you wish to register for the training, or have questions on the requirements, profiles or administrative issues, please reach out to HQAI's Head of Quality Assurance:

Elissa Goucem
E-Mail: egoucem@hqai.org

Registrations are accepted until **September 15th, 2020**.

The final test of the e-learning should be taken **before September 30th**.

Confirmation of the registration in the online training should be expected at the latest on the **15th of October 2020**.

The online auditor training will take place on the week of the **16th to 20th November 2020**.

If you are interested, check out who our current auditors are. Every profile comes with a short bio and background information: <http://hqai.org/auditors/>



HQAI training of auditors 2020 registration form

Please fill in the form as soon as possible and return it to Elissa Goucem: egoucem@hqai.org

Registration will close on September 15th, 2020.

First/Last Name	
Address	
Email	
Phone number/Skype id.	

Dates of the training

1. HQAI e-learning; available end of June 2020
Final test to be taken before September 30th 2020.
2. HQAI online auditor training: November 16, 17, 18, 19 and 20, 2020

Registration conditions

1. Send an updated CV and a 5 minute video explaining why you are interested in becoming an HQAI auditor.
2. Provide two credentials from previous recent employment positions or consulting assignments.
3. Provide proof of successful completion of an internationally recognised ISO 19011 Lead Auditor course.
Note that previous experience as management system auditor, internal auditor, finance/accounting auditor or similar can be taken into account.
4. Send proof of successful completion of an introductory course on the CHS. If you deem your past experience satisfies this requirement, please contact us.

Summary cost of the auditor training path

1. ISO19011 e-learning: 199 USD (to be paid to the provider - HQAI has no link with any provider)
2. HQAI E-learning module: 370 CHF (to be paid to HQAI)
3. Online training: 560 CHF (to be paid to HQAI)

General disclaimer

HQAI cannot guarantee that by attending our training sessions or e-learning you will automatically become an HQAI registered auditor. It depends on the results of the tests contained within the course. The decision to register an auditor is strictly HQAI's.

Similarly, despite significant growth projections, HQAI cannot guarantee that the participation to any of the trainings offered by HQAI leads to financial or business benefits.

Fees and payment

All applicable fees and taxes must be paid before the training starts. No access will be given to participants whose payments are delayed.

All trainings are invoiced in Swiss Francs.

Refund policy

Full payment of all fees and taxes is required before October 15th, 2020.

Refunds of previously paid fees is only possible if HQAI has been informed in writing to the cancellation before October 10th, 2020. Cancellations after that date are not refunded.

I hereby register in HQAI's auditor training path, 2020. I have read and understood the registration conditions.

Name:	
Date:	
Signature:	