

Audit Checklist for organisation

| MAIN | DETAILS | DOC | INITIATED | DEADLINE |
|--|--|--|--|--|
| I. PRE-APPLICATION | | | | |
| Expression of interest | <input type="checkbox"/> Identify the Audit focal point within the organisation | ADM 104 ADM 105 ADM 106 | Ideally 6 months before the desired start date of the audit visits | |
| | <input type="checkbox"/> Request application form and check Publications for complete overview of audit | | | |
| II. AUDIT APPLICATION | | | | |
| Application form | <input type="checkbox"/> Complete the application form and send to HQAI | GUI103 | At least 5.5 months before the desired start date of the audit visit | Initial sampling initiated upon reception of the application fees |
| | <input type="checkbox"/> Process the invoice for the application fees and request the Application package from HQAI | | | |
| Application package | <input type="checkbox"/> Start CHS self assessment (using HQAI STD014 - Self-assessment tool available under Publications) | STD014 GUI 125 | At least 5 months before the desired start date of the audit visit | Completing selection forms shall not take more than 2 weeks to ensure on time selection of sites for the audit |
| | <input type="checkbox"/> For international organisations: start filling in the Country programme selection Form | <input type="checkbox"/> For national organisations: start filling in the Project site(s) selection form | | |
| III. INITIAL SAMPLING - international organisations | | | | |
| Sampling rate | <input type="checkbox"/> Confirm Initial sampling (number of Country Programmes to be visited) | | At least 4 months before the desired start date of the onsite visit | The initial sampling shall not take more than 2 weeks |
| | <input type="checkbox"/> Follow-up with the lead auditor in charge of identifying the appropriate sampling rate (number of countries/projects to be visited as part of the audit), who may request additional information directly | | | |
| | <input type="checkbox"/> Send back to HQAI the complete programme/project site selection forms for second sampling (identification of country programmes/projects to be visited) | | | |
| IV. AUDIT AGREEMENT | | | | |
| Audit agreement | <input type="checkbox"/> Receive audit agreement letter proposal + ADM131 - Agreement letters general terms and conditions | ADM110 ADM111 ADM112 | At least 3 months before the desired start date of the onsite visit | A Formal agreement is drafted once sampling confirmed |
| | <input type="checkbox"/> Sign and return audit Agreement letter and process first invoice (70% of fees) | | | |

| V. AUDIT PLANNING | | | | | |
|---|---|---|---------------------|--|---|
| Audit team assignment and decision | <input type="checkbox"/> Receive proposal of audit team: Lead Auditor + Second Auditor(s). | | Introduction letter | 3 months before the start date of the onsite visit | HQAI will send CV of auditors for approval |
| | <input type="checkbox"/> Discuss and approve Audit team formally by email | | | | |
| | <input type="checkbox"/> The lead auditor gets in touch and initiates the planning and scheduling processes in coordination with the focal point. | | | | |
| HQAI Cloud | <input type="checkbox"/> Receive access to HQAI cloud and start uploading documents for the audit, following the instructions displayed in GUI103 - Manual for organisations and the ADM131 - Agreement letter's general terms and conditions | | PRO150 GUI125 | | Documents are to be uploaded on the cloud at least 1 month before the HO visit |
| Country Programme Selection (International organisations) | <input type="checkbox"/> Based on Country Programme Selection form the auditor shortlists at least 3 possible options for Country Programme(s) visits | | ADM139 ADM140 | 2 months before the start date of the onsite visit | Selection shall not take more than 2 weeks |
| | <input type="checkbox"/> Follow up with auditor on the sampling and any requests for additional information, discuss and formally approve the sites to be visited | | | 2 months before the start date of the onsite visit | |
| | <input type="checkbox"/> Inform selected Country programmes staff and start coordinating directly with country focal points and auditors | | | 2 months before the start date of the onsite visit | |
| Project site(s) and partner(s) selection | <input type="checkbox"/> For international organisations: start filling in Project sites selection form for each Country Programme selected | <input type="checkbox"/> For national organisations: Project sites selection already initiated at stage II. | ADM139 ADM140 | 2 months before the start date of the onsite visit | Completion shall not take more than 2 weeks |
| | <input type="checkbox"/> Send back project site selection form and Country programmes organograms to HQAI and auditor and follow up with the auditor, sending any additional information requested | | | 1.5 months before the start date of the onsite visit | Selection shall not take more than 2 weeks |
| | <input type="checkbox"/> Lead Auditor confirms the list of selected Project(s) and Partner(s) that will be visited | | | 1 months before the start date of the onsite visit | The scheduling should start as early as possible and be coordinated with in country staff |
| | <input type="checkbox"/> Coordinate and help Country programme staff get prepared for the visit of the auditors and start setting up the detailed schedule with the auditors | | | | |

| VI. AUDIT ON-SITE ARRANGEMENTS | | | | |
|----------------------------------|--|--------|---|--|
| Audit participants selection | <input type="checkbox"/> Share staff lists and organograms with the audit team. Based on this information, the audit team identifies interview participants at head office and country programme levels. | | At least 1.5 months before the start date of the onsite visit | Selection, planning and scheduling shall not take more than 2 weeks |
| | <input type="checkbox"/> Confirmation of selected participants in interviews and focus groups (beneficiaries, their communities, local authorities, local partners, etc.) | | | |
| Audit planning and scheduling | <input type="checkbox"/> Follow up with the audit team on audit plan, scheduling and logistics. Country programme and projects/partners teams need to be involved in this process. | ADM143 | At least 1 month before the start date of the onsite visit | Participants briefing and on-site audit preparation shall not take more than 2 weeks |
| | <input type="checkbox"/> Confirmation of agreed audit planning with the Lead Auditor. Lead Auditor is responsible for planning the audit, with the organisation's relevant input. | | | |
| Audit participants briefing | <input type="checkbox"/> Share all necessary information and preparation details with selected audit participants for interviews and focus group discussions as well as other relevant stakeholders. | ADM121 | At least 1 month before the start date of the onsite visit | Participants briefing and on-site audit preparation shall not take more than 2 weeks |
| Documents uploaded in HQAI cloud | <input type="checkbox"/> Core supportive documents are uploaded on HQAI Cloud. Note that selected country programmes, projects and partners related documents are also to be uploaded in the cloud. | PRO150 | | |
| Invoice payment | <input type="checkbox"/> Process audit invoice (for 70% of fees) | | At least 1 month before the start date of the onsite visit | Participants briefing and on-site audit preparation shall not take more than 2 weeks |
| On-site audit preparation | <input type="checkbox"/> Identify proficient local interpreter in coordination with country teams | | | |
| | <input type="checkbox"/> Organise all in-country/domestic travel arrangements in coordination with country teams and auditors | | | |
| Audit re-confirmation | <input type="checkbox"/> Logistical support to auditor in arranging visa and accommodation, when necessary | | 2 weeks before the start date of the onsite visit | |
| | <input type="checkbox"/> Confirm security situation to the audit team | | | |
| | <input type="checkbox"/> Confirm to auditors and HQAI that visits can unfold as planned | | | |

VII. ON SITE AUDIT

Audit takes place at Head Office and sampled Country Programme site(s).
The organisation should communicate constantly with the audit team
Help coordinate with local teams to process the partners information and publication forms when relevant (ADM119, ADM120)

VIII. AUDIT REPORT

| | | | | |
|--|---|--|--|---|
| First draft audit report reception and review | <input type="checkbox"/> Receive first draft report and its annex from HQAI. | | 5 weeks after country programme visit(s) ended | Comments on the first draft report expected within 2 weeks after reception. |
| | <input type="checkbox"/> Comment on factual errors and comments on draft report send back to HQAI | | | |
| Second draft report reception, review and confirmation | <input type="checkbox"/> Receive second draft report from HQAI. | | 7 weeks after country programme visit(s) ended | Comments on the second draft expected within 1 week after reception. |
| | <input type="checkbox"/> Comment and feedback on second draft report and send back to HQAI. | | | |
| Report "finalisation" | <input type="checkbox"/> Signature of the final audit report draft. The report is finalised when both parties sign it. Otherwise, the process is repeated until both parties accept the report. | | 8 weeks after country programme visit(s) ended | Signature of the document expected within 1 week after reception of final draft |

IX. POST AUDIT LOGISTIC

| | | | | |
|-------------------------------|--|------------------|--------------------------------|---|
| HQAI Package received | <input type="checkbox"/> Receive package with relevant documents from HQAI | POL103 ADM116 | 2 weeks after report finalised | |
| Workplan | <input type="checkbox"/> For independent verification programme, develop the four years work-plan for continuous improvement and send back to HQAI | STD020 | | Within 3 months after the report is finalised |
| Auditor Performance Appraisal | <input type="checkbox"/> Compete the evaluation of HQAI and lead auditor and send to HQAI | ADM116 | | Within 3 weeks after completion of the audit |