In preparation for an audit the following documents will provide evidence or useful information about the SMS. The tool separates document types according to the SMS part that is most relevant to the content.

**Part 1: Governance & Accountability**

[ ]  Minutes of Board and/or Executive meetings when security issues have been an agenda item for discussion and/or decision-making

[ ]  Formal communications from the Board and/or Executive to the workforce regarding security management

[ ]  Formal communications between the Board and/or Executive and donors regarding security management

[ ]  Codes of Conduct for employees and/or others

[ ]  Applicable laws and regulations governing employment, negligence (tort law), health & safety, etc.

[ ]  National and/or international standards used to inform security management

[ ]  Risk management standards (national or international)

**Part 2: Policies**

[ ]  Security management policies

[ ]  Crisis management policies

[ ]  Other related policies such as whistle-blowing policy

[ ]  Personnel policies

[ ]  Procurement policies

[ ]  Programme management policies

[ ]  Other risk management policies

**Part 3: Operations & Programme Management (i.e. plans and procedures)**

[ ]  A selection of country-specific security management plans and associated standard operating procedures

[ ]  Security guidelines

[ ]  Other related procedural documents such as handbooks, etc.

**Part 4: Information & Knowledge Management**

[ ]  Incident reports (for the past 12 months) including ‘near miss’ reporting

[ ]  Post-incident communications (action items, decisions in response to incidents, etc.)

[ ]  Formal communications regarding any serious or crisis incident (start to finish)

[ ]  Risk assessment tools and guidelines

**Part 5: Training & Learning and Development**

[ ]  Security management training strategy (global)

[ ]  Security management training plans (regional and country level)

[ ]  Skills & competencies lists or criteria

[ ]  Information guiding the use of external training providers including examples of tenders

[ ]  Internal training programme agendas

[ ]  Employee evaluations of internal or external training

**Part 6: Resourcing**

[ ]  Security management funding strategy (global)

[ ]  Security budget/s (global)

[ ]  Security management funding plans and budgets (regional and country level)

[ ]  A selection of programme budgets (regional and country level)

[ ]  Job descriptions, employment contracts and terms of references for security managers, security advisors, or security focal points

[ ]  Job descriptions, employment contracts and terms of references for programme directors (regional and country) and programme managers

[ ]  A selection of programme proposals and accompanying budgets for existing programmes (to show how security requirements are included and communicated to donors)

[ ]  A list of present donors and the donor proposal and/or reporting guidelines

**Part 7: Monitoring**

[ ]  Documented processes for security management performance monitoring and review

[ ]  Formal reports and/or communications throughout the management lines regarding security management performance (organisational)

[ ]  Documented examples of previous security reviews, audits or evaluations