



1. SAFETY POLICY AND OBJECTIVES

1.1. MANAGEMENT COMMITMENT

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	1.1.1	The service provider shall define its safety policy in accordance with international and national requirements. The safety policy shall: e) be signed by the accountable executive of the organization g) be periodically reviewed to ensure it remains relevant and appropriate to the service provider		Present	<input type="checkbox"/> Yes <input type="checkbox"/> No		
		Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No				
		Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No				
		Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Guidance	PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE
	There is a safety policy that includes a commitment continuous improvement, observe all applicable legal requirements standards and considers best practice signed by the accountable manager.		The safety policy is easy to read. The content is customized to the Service Provider		It is reviewed periodically to ensure it remains relevant to the organisation.		The accountable manager is familiar with the contents of the safety policy.
	What to look for						
	<ul style="list-style-type: none"> ➤ Talk to accountable manager to assess their knowledge and understanding of the safety policy. ➤ Interview staff to determine how readable and understandable it is. ➤ Confirm that the safety policy meets the requirements. 						
	Corresponding Requirements						
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §1							



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	1.1.2	The safety policy shall: b) include a clear statement about the provision of the necessary resources for the implementation of the safety policy	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
The safety policy includes a statement to provide appropriate resources.		There is a process for assessing resources and addressing any shortfalls.		The organisation is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls.		The organisation is reviewing and taking action to address any forecasted shortfalls in resources.	
What to look for							
<ul style="list-style-type: none"> ➤ Review available resources including personnel, equipment and financial. ➤ There are sufficient and competent personnel. ➤ Review planned manpower vs actual manpower. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §1							



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments
	1.1.3	The safety policy shall : f) be communicated, with visible endorsement, throughout the organization <i>See 2.1.2 for c) include safety reporting procedures</i>		Present	<input type="checkbox"/> Yes <input type="checkbox"/> No	
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No		
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No		
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Guidance	PRESENT	SUITABLE	OPERATIONAL		EFFECTIVE	
	There is a means in place for the communication of the safety policy	The safety policy is clearly visible to all staff (consider multiple sites). The safety policy is understandable (consider multiple languages).	The safety policy is communicated to all personnel (including relevant contract staff and Service Providers).		People across the organisation are familiar with the policy and can describe their obligations in respect of the safety policy.	
	What to look for					
	<ul style="list-style-type: none"> ➤ Review how safety policy is communicated. ➤ Safety policy is clearly visible to all staff including relevant contracted staff and third-party organizations. ➤ Question managers and staff regarding knowledge of the safety policy. 					
	Corresponding Requirements					
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 4.2.						



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments
	1.1.4	The safety policy shall : a) reflect organizational commitment regarding safety, including the promotion of a positive safety culture		Present	<input type="checkbox"/> Yes <input type="checkbox"/> No	
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No		
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No		
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Guidance	PRESENT	SUITABLE	OPERATIONAL		EFFECTIVE	
	The management commitment to safety is documented within the safety policy.	The Accountable Executive and the senior management team have a well-defined role in the safety management system.	The accountable manager and the senior management team are promoting their commitment to the safety policy through active and visible participation in the safety management system.		Decision making, actions and behaviours reflect a positive safety culture and there is good safety leadership that demonstrates commitment to the safety policy.	
	What to look for					
	<ul style="list-style-type: none"> ➤ All Managers are familiar with the key elements of the safety policy. ➤ Evidence of senior management participation in safety meetings, training, conferences etc. ➤ Feedback from safety culture surveys. ➤ Relationship with regulator and other stakeholders. 					
Corresponding Requirements						
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 1.1						



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	1.1.5	The safety policy shall : d) clearly indicate which types of behaviors are unacceptable related to the service provider's aviation activities and include the circumstances under which disciplinary action would not apply.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
Guidance	PRESENT	SUITABLE	OPERATIONAL		EFFECTIVE		
	A Just Culture Policy and principles have been defined that clearly identifies acceptable and unacceptable behaviours to promote a Just Culture	The just culture policy clearly identifies acceptable and unacceptable behaviours. The principles ensure that the policy can be applied consistently across the whole organisation. The just culture policy and principles are understandable and clearly visible.	There is evidence of the Just Culture policy and supporting principles being applied and promoted to staff.		The Just Culture policy is applied in a fair and consistent manner and people trust the policy. There is evidence that the line between acceptable and unacceptable behaviour has been determined in consultation with staff and staff representatives.		
	What to look for						
	<ul style="list-style-type: none"> ➤ Evidence of when the just culture principles have been applied following an event. ➤ Evidence of interventions from safety investigations addressing organisational issues rather than focusing only on the individual. ➤ Review how the organisation is monitoring reporting rates. ➤ The number of aviation safety reports appropriate to the activities. ➤ Safety Reports include the reporter's own errors and events they are involved in (events where no one was watching). ➤ Feedback on just culture from staff safety culture surveys. ➤ Interview staff representatives to confirm that they agree with just culture policy and principles. ➤ Talk to staff to check they are aware of the just culture policy and principles. 						
	Corresponding Requirements						
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 1.1							



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	1.1.6	Safety objectives have been established that are consistent with the safety policy and they are communicated throughout the organisation;	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
Guidance	PRESENT	SUITABLE	OPERATIONAL		EFFECTIVE		
	Safety objectives have been established that are consistent with the safety policy and there is a means to communicate them throughout the organisation.	Safety objectives are relevant to the Service Provider and its activities. Safety objectives are understandable and clearly visible. Safety objectives are aligned with the SSP.	Safety objectives are relevant to the Service Provider and are being regularly reviewed and are communicated throughout the organisation.		Achievement of the safety objectives is being monitored by senior management and action taken to ensure they are being met.		
	What to look for						
	<ul style="list-style-type: none"> ➤ Assess whether the safety objectives are appropriate and relevant? ➤ Objectives are defined that will lead to an improvement in processes, outcomes and the development of a positive safety culture ➤ Assess how safety objectives are communicated throughout the organisation. ➤ Safety objectives are being measured to monitor achievement through SPIs ➤ Assess if the safety objectives have considered the State safety objectives in the SSP. 						
	Corresponding Requirements						
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §1 and Annex Point 1.1.2							



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	1.1.6	Safety objectives have been established that are consistent with the safety policy and they are communicated throughout the organisation;	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
Safety objectives have been established that are consistent with the safety policy and there is a means to communicate them throughout the organisation.		Safety objectives are relevant to the Service Provider and its activities. Safety objectives are understandable and clearly visible. Safety objectives are aligned with the SSP.		Safety objectives are relevant to the Service Provider and are being regularly reviewed and are communicated throughout the organisation.		Achievement of the safety objectives is being monitored by senior management and action taken to ensure they are being met.	
What to look for							
<ul style="list-style-type: none"> ➤ Assess whether the safety objectives are appropriate and relevant? ➤ Objectives are defined that will lead to an improvement in processes, outcomes and the development of a positive safety culture ➤ Assess how safety objectives are communicated throughout the organisation. ➤ Safety objectives are being measured to monitor achievement through SPIs ➤ Assess if the safety objectives have considered the State safety objectives in the SSP. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §1 and Annex Point 1.1.2							



1.2. SAFETY ACCOUNTABILITY AND RESPONSIBILITIES

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	1.2.1.	The service provider shall a) identify the accountable executive who, irrespective of other functions, is accountable on behalf of the Service Provider for the implementation and maintenance of an effective SMS.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
An accountable manager has been appointed with full responsibility and ultimate accountability for the SMS.		The Accountable Executive has control of resources.		The accountable manager ensures that the SMS is properly resourced, implemented and maintained and has the authority to stop the operation if there is an unacceptable level of safety risk.		The accountable manager ensures that the performance of the SMS is being monitored, reviewed and improved.	
What to look for							
<ul style="list-style-type: none"> ➤ Evidence that the accountable manager has the authority to provide sufficient resources for relevant safety improvements. ➤ Evidence of decision making on risk acceptability. ➤ Review SMS activities are being carried out in a timely manner and the SMS is sufficiently resourced. ➤ Evidence of activities being stopped due to unacceptable level of safety risk. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex, Point 1.2 – a)							



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	1.2.2. The service provider shall : b) clearly define lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management; c) identify the responsibilities of all members of management as well as of employees, with respect to the safety performance of the organisation ; d) document and communicate safety accountability, responsibilities, and authorities throughout the organization, define the levels of management with authority to make decisions regarding safety risk tolerability.		Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
The safety accountability, authorities and responsibilities are clearly defined and documented.		Individuals have access to their safety accountability, authorities, and responsibilities (for example, through job descriptions or organisational charts).		Everyone in the organisation is aware of and fulfil their safety responsibilities, authorities and accountabilities and encouraged to contribute to the SMS.		The accountable manager and the senior management team are aware of the risks faced by the organisation and safety management system principles exist throughout the organisation so that safety is part of the everyday language.	
What to look for							
<ul style="list-style-type: none"> ➤ Question managers and staff regarding their roles and responsibilities. ➤ Confirm senior managers are aware of the organisation's safety performance and its most significant risks. ➤ Evidence of managers having safety related performance targets. ➤ Look for active participation of the management team in the SMS. ➤ Evidence of appropriate risk mitigation, action and ownership. ➤ Levels of Management authorised to make decisions on risk acceptance are defined to make decisions on risk acceptance are defined and applied. ➤ Check for any conflicts of interest and that they have been identified and managed. ➤ Acceptance of risk is aligned with authorisations. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 1.2 – b)							



1.3. APPOINTMENT OF KEY PERSONNEL

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	1.3.1.	The service provider shall appoint a safety manager who is responsible for the implementation and maintenance of the SMS.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
Guidance	PRESENT	SUITABLE	OPERATIONAL		EFFECTIVE		
	A competent safety manager who is responsible for the implementation and maintenance of the SMS has been appointed with a direct reporting line with the accountable manager.	Depending on the size of the service provider and the complexity of its aviation products or services, the responsibilities for the implementation and maintenance of the SMS may be assigned to one or more persons, fulfilling the role of safety manager, as their sole function or combined with other duties, provided these do not result in any conflicts of interest.	The safety manager has implemented and is maintaining the SMS. The safety manager is in regular communication with the accountable manager and escalates safety issues when appropriate.		The safety manager is competent to manage the SMS and identifying improvements in a timely manner. There is a close working relationship with the accountable manager and the safety manager is considered a trusted advisor and given appropriate status in the organisation.		
	What to look for						
	<ul style="list-style-type: none"> ➤ Review safety manager role including credibility and status. ➤ Review the training that the safety manager has received and evidence of maintained competency. ➤ Review how the safety manager gets access to internal and external safety information. ➤ Review how the safety manager communicates and engages with operational staff and senior management. ➤ Review the safety manager's workload/allocated time to fulfil role. 						
	Corresponding Requirements						
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 1.3.1							



Assessment	ICAO doc 9859 guidance		Status		How is it achieved	Comments
	1.3.2. The Service Provider has allocated sufficient resources to manage the SMS including, but not limited to, competent staff for safety investigation, analysis, auditing, and promotion.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
		Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
		Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
		Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE	OPERATIONAL		EFFECTIVE	
		Sufficient time and resources are allocated to maintain the SMS.				
What to look for						
<ul style="list-style-type: none"> ➤ Check there are sufficient resources for SMS activities such as safety investigation, analysis, auditing, safety meeting attendance, and promotion. ➤ Review of safety report action and closure timescales ; ➤ Interviews with Accountable Executive and safety manager. 						
Corresponding Requirements						



Assessment	ICAO doc 9859 guidance		Status		How is it achieved	Comments	
	1.3.3. The Service Provider has established appropriate safety committee(s) that discuss and address safety risks and compliance issues and includes the Accountable Executive and the heads of functional areas.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No				
		Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No				
		Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No				
		Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No				
PRESENT		SUITABLE	OPERATIONAL		EFFECTIVE		
The Service provider has established safety committee(s).		Safety committee(s)' structure and frequency support the SMS functions across the organisation. The scope of the safety committee(s) includes safety risks and compliance issues. The attendance of the highest-level safety committee includes at least the Accountable Executive and the heads of functional areas.	There is evidence of meetings taking place detailing the attendance, discussions, and actions. The safety committee(s) monitor the effectiveness of the SMS and compliance monitoring function by reviewing there are sufficient resources. Actions are being monitored and appropriate safety objectives and SPIs have been established.		Safety committees include key stakeholders. The outcomes of the meetings are documented and communicated and any actions are agreed, taken, and followed up in a timely manner. The safety performance and safety objectives are reviewed and actioned as appropriate.		
What to look for							
<ul style="list-style-type: none"> ➤ Review safety committee and meeting structure and Terms of Reference for each committee/meeting. ➤ Review meeting attendance levels. ➤ Review meeting records and actions. ➤ Check that outcomes are communicated to the rest of the organisation. ➤ Evidence of safety objectives, safety performance, and compliance are being reviewed and discussed at meetings. ➤ Participants challenge what is being presented when there is limited evidence. ➤ Senior management are aware of the most significant risks faced by the organisation and the overall safety performance of the organisation. 							
Corresponding Requirements							



1.4. CO-ORDINATION OF EMERGENCY RESPONSE PLANNING

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	1.4.1.	The service provider is required to establish and maintain an emergency response plan for accidents and incidents in aircraft operations and other aviation emergencies shall ensure that the emergency response plan is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its products and services	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
An appropriate emergency response plan (ERP) has been developed and distributed that defines the procedures, roles, responsibilities and actions of the various Service Providers and key personnel.		Key personnel have easy access to the relevant parts of the ERP at all times. The ERP defines the procedures, roles, responsibilities, and actions of the various organisations and key personnel. The frequency and methods for testing the ERP are defined. The coordination with other organisations (including non-aviation organisations) is defined with appropriate means.		The ERP is reviewed and tested to make sure it remains up to date. Key personnel have easy access to the relevant parts of the ERP at all times. There is evidence of coordination with other Service Providers as appropriate.		The results of the ERP review and testing are assessed and actioned to improve its effectiveness.	
What to look for							
<ul style="list-style-type: none"> ➤ Review emergency response plan. ➤ Review how co-ordination with other Service Providers is planned. ➤ Review how ERP is distributed and where copies are held. ➤ Talk to key personnel and check they have access to the ERP ➤ Different types of foreseeable emergencies have been considered. ➤ Review when plan was last reviewed and tested and any actions taken as a result 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex, Point 1.4.							



1.5. SMS DOCUMENTATION

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	1.5.1.	The service provider shall develop and maintain an SMS manual that describes its: a) safety policy and objectives b) SMS requirements c) SMS processes and procedures d) accountability, responsibilities and authorities for SMS processes and procedures	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
The SMS documentation includes the policies and processes that describe the organisation's safety management system and processes.		SMS documentation is readily available to all relevant personnel. SMS documentation is comprehensible.		SMS documentation is consistent with other internal management systems and is representative of the actual processes in place. Changes to the SMS documentation are managed. Everyone has easy access to, familiar with and follow the relevant parts of the SMS documentation.		SMS Documentation is proactively reviewed for improvement.	
What to look for							
<ul style="list-style-type: none"> ➤ Review the SMS Documentation and amendment procedures ➤ Check for cross references to other documents and procedures. ➤ Check availability of SMS documentation to all staff ➤ Check staff know where to find safety related documentation including procedures appropriate to their role. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 1.5.1							



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	1.5.2.	The service provider shall develop and maintain SMS operational records as part of its SMS documentation.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
The SMS documentation defines the SMS outputs and which records of SMS activities will be stored.		Data protection and confidentiality rules have been defined.		SMS activities are appropriately stored and found to be complete and consistent with appropriate data protection and control.		The SMS documentation defines the SMS outputs and which records of SMS activities will be stored.	
What to look for							
<ul style="list-style-type: none"> ➤ Review the supporting SMS documentation (hazard logs, meeting minutes, safety performance reports, risk assessments etc). ➤ Check how safety records are stored and version controlled. ➤ Data protection and confidentiality rules have been defined and are consistently applied. ➤ Check appropriate staff are aware of the records control processes and procedures. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 1.5.2							



2. SAFETY RISK MANAGEMENT

2.1. HAZARD IDENTIFICATION

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	2.1.1.	The service provider shall develop and maintain a process to identify hazards associated with its aviation products or services. Hazard identification shall be based on a combination of reactive and proactive methods.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
There is a process that defines how reactive and proactive hazard identification is gathered from multiple sources (internal and external).		Responsibilities, timelines, and format for the feedback are meaningful and well defined. Data protection and confidentiality is ensured.		The hazards are identified and documented. Human and organisational Factors related hazards are being identified.		There is a process that defines how reactive and proactive hazard identification is gathered from multiple sources (internal and external).	
What to look for							
<ul style="list-style-type: none"> ➤ Review the supporting SMS documentation (hazard logs, meeting minutes, safety performance reports, risk assessments etc). ➤ Check how safety records are stored and version controlled. ➤ Data protection and confidentiality rules have been defined and are consistently applied. ➤ Check appropriate staff are aware of the records control processes and procedures. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 2.1							



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	2.1.2.	There is a confidential reporting system that provides appropriate feedback to the reporter and, where appropriate, to the rest of the organisation.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
Guidance	PRESENT	SUITABLE	OPERATIONAL		EFFECTIVE		
	There is a confidential reporting system to capture mandatory occurrences and voluntary reports that includes a feedback system and stored on a database. Responsibilities have been defined as required by regulation. The process identifies how reports are actioned and timescales specified.	The reporting system is accessible and easy to use by all personnel.	There is feedback to the reporter of any actions taken (or not taken) and, where appropriate, to the rest of the organisation. Reports are evaluated, processed, analysed and stored. People are aware and fulfil their responsibilities in respect of the reporting system Reports are processed within the defined timescales.		There is a healthy reporting system based on the volume of reporting and the quality of reports received. Safety reports are acted on in a timely manner. The reporting system is being used to make better management decisions and continuously improve. The reporting system is available for third parties to report (partners, suppliers, and contractors).		
	What to look for						
	<ul style="list-style-type: none"> ➤ Review the reporting system for access and ease of use. ➤ Check staff trust the reporting system, are familiar with it and know what should be reported. ➤ Review how data protection and confidentiality is achieved, and check evidence of feedback to reporter, the organisation and third parties. ➤ Assess volume and quality of reports including self reporting.; Review report closure rates. ➤ Check availability to contracted Service Providers and customers to make reports. ➤ Assess how the system supports analysis and follow-up. ➤ Confirm responsibilities with regards to occurrence analysis, storage and follow-up clearly defined. ➤ Assess how senior management engage with the outputs of the reporting system. 						
	Corresponding Requirements						
Instruction N°17/I/CCAA/DG of 28 th November 2019, Point 4.3							



Assessment	ICAO 9859 guidance & text		Status		How is it achieved	Comments
	2.1.3.	a) There is a process in place to analyse safety data and safety information to look for trends and gain useable management information. b) Safety investigations are carried out by appropriately trained personnel to identify root causes (why it happened, not just what happened).	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No		
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No		
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Effective			<input type="checkbox"/> Yes <input type="checkbox"/> No			
Guidance	PRESENT	SUITABLE	OPERATIONAL		EFFECTIVE	
	The triggers for safety investigations are identified.	Multiple sources of hazards (internal and external) are considered and reviewed, as appropriate. The data analysis process enables gaining useable safety information. Hazards are documented in an easy-to-understand format. The level of sign-off for safety investigations is defined and adequate to the level of risk.	The hazards are identified and documented. Human and organisational factors related to hazards are being identified. Safety investigations are carried out and recorded.		The triggers for safety investigations are identified.	
	What to look for					
	<ul style="list-style-type: none"> ➤ Review how hazards are identified, analysed, addressed, and recorded. ➤ Review structure and layout of hazard log. ➤ Consider hazards related to: Possible accident scenarios ; Human and organisational factors ; Business decisions and processes ; Third party organisations ; and Regulatory factors. ➤ Review what internal and external sources of hazards are considered such as safety reports, audits, safety surveys, investigations, inspections, brainstorming, management of change activities, commercial and other external influences, etc. ➤ Review whether safety investigations identify human and organisational contributing factors. Assess how senior management engage with the outputs of the reporting system. 					
Corresponding Requirements						
Instruction N°17/II/CCAA/DG of 28 th November 2019, Point 7						



2.2. RISK ASSESSMENT AND MITIGATION

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	2.2.1.	The service provider shall develop and maintain a process that ensures analysis, assessment of the safety risks associated with identified hazards.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
There is a process for the analysis and assessment of safety risks. Criterias for evaluating the level of risk the Service Provider is willing to accept are defined.		Severity and likelihood criteria are clearly defined and fit the service provider's actual circumstances. The risk matrix and acceptability criteria are clearly defined and usable. Responsibilities and timelines for accepting the risk are clearly defined.		Risk analysis and assessments are carried out in a consistent manner based on the defined process. The defined risk acceptability is being applied.		There is a process for the analysis and assessment of safety risks. Criterias for evaluating the level of risk the Service Provider is willing to accept are defined.	
What to look for							
<ul style="list-style-type: none"> ➤ Review risk classification scheme and procedures. ➤ Review severity and likelihood criteria defined (or alternative methodology described). ➤ Examine sample an identified hazard and how it is processed and documented. ➤ Review what triggers a risk assessment. ➤ Check any assumptions made and whether they are reviewed. ➤ Review how issues are classified when there is insufficient quantitative data available. ➤ Assess how process defines who can accept what level of risk. ➤ Review layout of risk register and check it is reviewed and monitored by the appropriate safety committee(s). ➤ Evidence of risk acceptability being routinely applied in decision making processes. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §1 and Annex Point 2.2.1							



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	2.2.2.	The service provider shall develop and maintain a process that ensures control of the safety risks associated with identified hazards.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
The Service Provider has a process in place to decide and apply the appropriate risk controls.		Responsibilities and timelines for determining and accepting the risk controls are defined.		Appropriate risk controls are being applied to reduce the risk to an acceptable level including timelines and allocation of responsibilities. Human Factors are considered as part of the development of risk controls. Senior management have visibility of medium and high risk hazards and their mitigation and controls.		Risk controls are practical and sustainable and applied in a timely manner and do not create additional risks. Risk Controls take into consideration Human Factors.	
What to look for							
<ul style="list-style-type: none"> ➤ Risk controls consider human and organisational factors. ➤ Evidence of risk controls being actioned and follow up. ➤ Aggregate risk is being considered. ➤ Look at whether the risk controls have reduced the residual risk. ➤ Risk controls clearly identified. ➤ Review the use of risk controls that rely solely on human intervention. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §1 and Annex Point 2.2.1							



2.3. INTERFACE MANAGEMENT

Assessment	Annex 19 Appendix 2 note 2		Status		How is it achieved	Comments	
	2.3.1.	The Service Provider has identified and documented the relevant internal and external interfaces and the critical nature of such interfaces.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
The Service Provider has identified and documented the relevant internal and external interfaces and the critical nature of such interfaces.		All relevant interfaces are addressed. The way the interfaces are managed is appropriate to the criticality in terms of safety. The means for communicating safety information is defined.		The Service Provider is managing the interfaces through hazard identification and risk management. There is an assurance activity to assess risk mitigations being delivered by external organisations.		The Service Provider has identified and documented the relevant internal and external interfaces and the critical nature of such interfaces.	
What to look for							
<ul style="list-style-type: none"> ➤ Review how interfaces have been documented. It may be included in a system description. ➤ Review evidence that: <ul style="list-style-type: none"> ○ Safety critical issues, areas, and associated hazards are identified; ○ Safety occurrences are being reported and addressed; ○ Risk control actions are applied and regularly reviewed; and ○ Interfaces are reviewed periodically. ➤ Verify that training and safety promotion sessions are organised with relevant external organisations. ➤ External organisations participate in SMS activities and share safety information. ➤ Check the identified interfaces (e.g., interfaces with aerodromes, airlines, ATC, training organisations, contracted organisations, and the State).. 							
Corresponding Requirements							



3. SAFETY ASSURANCE

3.1. SAFETY PERFORMANCE MONITORING AND MEASUREMENT

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments
	3.1.1.	The service provider shall develop and maintain the means to verify the safety performance of the organization, and to validate the effectiveness of safety risk controls.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No	Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No
		Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No	Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Guidance	PRESENT	SUITABLE	OPERATIONAL	EFFECTIVE
	There is a process in place to assess whether the risk controls are applied and effective.	SPIs are focused on what is important rather than what is easy to measure. Reliability of data sources is considered in the design of SPIs. SPIs are linked to the identified risks and safety objectives. Frequency and responsibility for the trend monitoring of SPIs are appropriate. Realistic targets have been set. State SPIs are considered, as applicable.	The safety performance of the organisation is being measured and meaningful SPIs are being continuously monitored and analysed for trends.	SPIs are demonstrating the safety performance of the organisation and the effectiveness of risk controls based on reliable data. SPIs are reviewed and regularly updated to ensure they remain relevant. Where the SPIs indicate that a risk control is ineffective, appropriate action is taken.
	What to look for			
	<ul style="list-style-type: none"> ➤ Evidence of risk controls being assessed for effectiveness (eg. audits, surveys, reviews). ➤ Evidence of risk controls applied by contracted organisations / third parties being assessed. ➤ Information from safety assurance and compliance monitoring activities feeds back into the safety risk management process. ➤ Review where risk controls have been changed as a result of the assessment. 			
	Corresponding Requirements			
	Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §1 and Annex Point 3			



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	3.1.2.	The service provider's safety performance shall be verified in reference to the safety performance indicators and safety performance targets of the SMS in support of the organization's safety objectives.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
<p>There is a process in place on how the safety performance of the Service Provider will be measured including safety performance indicators and targets linked to the organisation's safety objectives.</p> <p>The Service Provider has an internal audit program and procedures for audits, reporting, and records.</p> <p>A person or group of persons with responsibilities for internal audits has been identified and they have direct access to the Accountable Executive.</p>		<p>Responsibilities and timelines for determining, accepting, and following-up the corrective/preventive action are defined.</p> <p>Compliance monitoring includes contracted activities.</p> <p>The internal audit program covers all applicable regulations and includes details of the schedule of audits.</p>		<p>The safety performance of the organisation is being measured and the SPIs are being continuously monitored and analysed for trends.</p> <p>The compliance monitoring program is being followed and regularly reviewed.</p> <p>After an audit, there is appropriate analysis of causal factors and corrective/preventive actions are taken.</p>		<p>SPIs are demonstrating the safety performance of the organisation and the effectiveness of risk controls based on reliable data.</p> <p>SPIs are reviewed and regularly updated to ensure they remain relevant.</p> <p>Where the SPIs indicate a risk control not being effective appropriate action is taken.</p>	
What to look for							
<ul style="list-style-type: none"> ➤ Evidence that SPIs are based on reliable sources of data and are reviewed. ➤ The defined SPIs and targets are appropriate to the Service Provider's activities, risks, and safety objectives. ➤ SPIs are focused on what is important rather than what is easy to measure. ➤ Consideration of any State SPIs. ➤ Review whether any action has been taken when an SPI is indicating a negative trend (reflecting a risk control or an inappropriate SPI). ➤ Evidence that results of safety performance monitoring are discussed at the senior management level and feedback provided to the Accountable Executive. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §1 and Annex Point 3							



3.2. THE MANAGEMENT OF CHANGE

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	3.2.1.	The service provider shall develop and maintain a process to identify changes which may affect the level of safety risk associated with its aviation products or services and to identify and manage the safety risks that may arise from those changes.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
Guidance	PRESENT	SUITABLE	OPERATIONAL		EFFECTIVE		
	The organisation has established a management of change process to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes.	Triggers for the change management process are defined. The process also considers business related changes and interfaces with other organisations/departments. The process is integrated with the risk management and safety assurance processes. Responsibilities and timelines are defined.	The management of change process is being used. It includes hazard identification and risk assessments with appropriate risk controls being put in place before the decision to make the change is taken. Human Factors issues have been considered and being addressed as part of the change management process.		The organisation has established a management of change process to identify whether changes have an impact on safety and to manage any identified risks in accordance with existing safety risk management processes.		
	What to look for						
	<ul style="list-style-type: none"> ➤ Key stakeholders are involved in the process. ➤ Review what triggers the process and recent changes that have been through the risk assessment process. ➤ Change is signed off by an appropriately authorised person. ➤ Transitional risks are being identified and managed. ➤ Review follow up actions such as whether any assumptions made have been validated. ➤ Review whether there is an impact on previous risk assessments and existing hazards. ➤ Review whether consideration is given to the accumulative effect of multiple changes. ➤ Review that business related changes have considered safety risks (organisational restructuring, downsizing, IT projects etc.) ➤ Review impact of change on training and competencies and evidence of Human Factors issues being addressed during changes. 						
	Corresponding Requirements						
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 3.2							



3.3. CONTINUOUS IMPROVEMENT OF THE SMS

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	3.3.1.	The service provider shall monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
There is a process in place to monitor and review the effectiveness of the SMS using the available data and information.		The SMS is periodically reviewed, and the review is supported by safety information and safety assurance activities. Senior management and different departments are involved. The decision-making is data informed. External information is considered in addition to internal information.		There is evidence of the SMS being periodically reviewed to support the assessment of its effectiveness and appropriate action being taken.		There is a process in place to monitor and review the effectiveness of the SMS using the available data and information.	
What to look for							
<ul style="list-style-type: none"> ➤ What information and safety data is used for management decision making for continuous improvement? ➤ Evidence of: <ul style="list-style-type: none"> ○ Lessons learnt being incorporated into SMS and operational processes; ○ Best practice being sought and embraced; ○ Surveys and assessments of organisational culture being carried out and acted upon Data being analysed and results shared with Safety Committees. ➤ Evidence of follow up actions. ➤ Feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis all contribute towards continuous improvement of the SMS 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 3.3							



4. SAFETY PROMOTION

4.1. TRAINING AND EDUCATION

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	4.1.1.	The service provider shall develop and maintain a safety training program that ensures that personnel are trained and competent to perform their SMS duties. The scope of the safety training program shall be appropriate to each individual's involvement in the SMS.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
There is a training program for SMS in place that includes initial and recurrent training. The training covers individual safety duties (including roles, responsibilities and accountabilities) and how the Service Provider's SMS operates.		Training material and methodology are adapted to the audience and include human factors. All staff requiring training are identified. Training includes human and organisational factors including just culture and non-technical skills with the intent of reducing human error.		The SMS training program is delivering appropriate training to the different staff in the organisation and being delivered by competent personnel. There is a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training		SMS Training is evaluated for all aspects (learning objectives, content, teaching methods and styles, tests) and is linked to the competency assessment. Training is routinely reviewed to take into consideration feedback from different sources.	
What to look for							
<ul style="list-style-type: none"> ➤ Review the SMS training program including course content and delivery method. ➤ Check training records against the training program. ➤ Review how the competence of the instructors is being assessed. ➤ Training considers feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis, training, course evaluations, human and organisational factors etc. ➤ Review how training is assessed for new staff and changes in position. ➤ Review any training evaluation ➤ Ask staff about their own understanding of their role in the organisation's SMS and their safety duties. ➤ Check all staff are briefed on compliance. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 4.1.1							



Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	4.1.2.	The scope of the safety training program shall be appropriate to each individual's involvement in the SMS.	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
Guidance	PRESENT	SUITABLE	OPERATIONAL		EFFECTIVE		
	A competency framework is defined for all personnel, including trainers. There is a process that evaluates the individual's competence and takes appropriate remedial action when necessary.	There is a process in place to periodically assess the actual competency of personnel against the framework.	There is evidence of the process being used and being recorded.		The competence assessment program and process is routinely reviewed and improved. The competence assessment takes appropriate remedial action when necessary and feeds into the training program.		
	What to look for						
	<ul style="list-style-type: none"> ➤ Review how competence assessment is carried out on initial recruitment and recurrently. ➤ Check it includes safety duties and responsibilities, as well as compliance management. 						
	Corresponding Requirements						
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 4.1.2							



4.2. SAFETY COMMUNICATION

Assessment	Annex 19 reference & text		Status		How is it achieved	Comments	
	4.2.1.	The service provider shall develop and maintain a formal means for safety communication that: <ul style="list-style-type: none"> o ensures personnel are aware of the SMS to a degree commensurate with their positions o conveys safety-critical information o explains why particular actions are taken to improve safety; and o explains why safety procedures are introduced or changed 	Present	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Suitable	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Operational	<input type="checkbox"/> Yes <input type="checkbox"/> No			
			Effective	<input type="checkbox"/> Yes <input type="checkbox"/> No			
PRESENT		SUITABLE		OPERATIONAL		EFFECTIVE	
There is a process to communicate safety critical information.		The process determined what, when, and how safety information needs to be communicated. The process includes contracted service providers and personnel, where appropriate. The means of communication are adapted to the audience and the significance of what is being communicated.		Safety critical information is being identified and communicated throughout the organisation to all personnel as relevant including contracted Service Providers and personnel where appropriate.		There is a process to communicate safety critical information.	
What to look for							
<ul style="list-style-type: none"> ➤ Review the sources of information used for safety communication including significant events, changes, and investigation outcomes ➤ Review the methods used to communicate safety information and assess whether the means of communication is appropriate. ➤ The means for safety communication is reviewed for effectiveness and material used to update relevant training. ➤ Check accessibility to safety information and ask staff about any recent safety communication. ➤ Review whether information from occurrences are timely communicated to all relevant personnel and has been appropriately disidentified. 							
Corresponding Requirements							
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex Point 4.2							

Note: This checklist amends DSA.SAF.CHL.001 and replaces DSA.SAF.CHL.002 of the 03/01/2019.

Director of Air Safety

 Alioum SEITOU OUSMANOU