

1. SAFETY POLICY AND OBJECTIVES

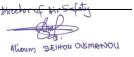
1.1. MANAGEMENT COMMITMENT

		Annex 19 reference	e & text		Sto	atus	How is it	achieved	Comments		
ent	1.1.1	The service provider shall c accordance with international a		Pre	sent	Yes 🗌 No					
Assessment		safety policy shall: e) be signed by the acco	ountable executive of the	Suit	able	Yes 🗌 No	-				
Ass		organization g) be periodically reviewed to e	nsure it remains relevant and	Oper	ational	Yes 🗌 No					
		appropriate to the service provid		Effe	ffective Yes No						
	PRESENT	Г	SUITABLE	OPERATIONAL			1	EFFECTIVE			
Guidance	There is a safety policy that includes a commitment continuousThe safety policy is easy to re content is customized to theimprovement, observe all applicable legal requirements standards and considers best practice signed by the accountable manager.The safety policy is easy to re content is customized to the					ewed periodically to the org			ntable manager is familiar ntents of the safety policy.		
Guid				What to	look for						
	>	 Interview staff to determine how readable and understandable it is. Confirm that the safety policy meets the requirements. 									
		Corresponding Requirements									
			Ministerial Order N	N°8/A/MIN	NT of 10 th J	lune 2019, Art. 4 §1					





		Annex 19 reference	ce & text		Sto	atus	How is it	achieved	Comments
ent		afety policy shall: clude a clear statement	about the provision of the	Pre	sent	Yes No			
Assessment		essary resources for the ir	nplementation of the safety	Suit	able	Yes No			
Ass		,		Opero	ational	Yes No			
				Effe	ctive	Yes No			
	,	PRESENT	SUITABLE			OPERATIONAL			EFFECTIVE
Guidance		olicy includes a provide appropriate	There is a process for assessing resources and addressing any shortfalls.	-	resourc safe ser	king action to addr	to deliver a	taking actio	ation is reviewing and on to address any shortfalls in resources.
uido				What to	look for				
G	> There	v available resources includ are sufficient and compete v planned manpower vs ad	•	financial.					
			Corr	esponding	g Require	ments			
			Ministerial Order 1	N°8/A/MIN	IT of 10 th J	lune 2019, Art. 4 §1			





		Annex 19 reference	ce & text		Sto	atus	How is it	achieved	Comments
ent	1.1.3	The safety policy shall : f) be communicated, with visik	ble endorsement, throughout	Pre	sent	Yes 🗌 No			
Assessment		the organization		Suite	able	Yes 🗌 No			
Asse		See 2.1.2 for c) include safety re	porting procedures	Operc	ational	Yes 🗌 No			
				Effe	ctive	Yes No			
		PRESENT	SUITABLE			OPERATIONAL			EFFECTIVE
Guidance		is a means in place for the nunication of the safety policy	The safety policy is clearly visi staff (consider multiple sites). The safety policy is understan (consider multiple languages	dable	all pers	ety policy is commu onnel (including released in the staff and Service	evant	familiar with	oss the organisation are In the policy and can eir obligations in respect of policy.
uido				What to	look for				
U	\triangleright	Review how safety policy is comm Safety policy is clearly visible to all Question managers and staff reg	l staff including relevant contra arding knowledge of the safety	policy.		· · · -	S.		
				responding					
			Ministerial Order N°8/A/MIN	T of 10 th Ju	ne 2019,	Art. 4 §2 and Annex	x Point 4.2.		



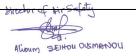


		Annex 19 reference	e & text		Sto	atus	How is it	achieved	Comments
ent	1.1.4	The safety policy shall : a) reflect organizational cor	nmitment regarding safety,	Pres	sent	🗌 Yes 🗌 No			
Assessment		including the promotion of a po	sitive safety culture	Suite	able	Yes 🗌 No			
Ass				Operc	ational	Yes No			
				Effec	ctive	Yes 🗌 No			
		PRESENT	SUITABLE			OPERATIONAL			EFFECTIVE
Guidance		management commitment to v is documented within the safety v.	The Accountable Executive senior management team well-defined role in the management system.		senior promot safety visible	countable manag management ing their commitm policy through o participation in ement system.	team are nent to the active and	culture an Ieadership	making, actions and reflect a positive safety ad there is good safety that demonstrates nt to the safety policy.
uida				What to	look for				
Ū		All Managers are familiar with the Evidence of senior management Feedback from safety culture surv Relationship with regulator and of	participation in safety meeting veys. her stakeholders.	s, training,					
				responding	-				
			Ministerial Order N°8/A/MIN	T of 10 th Ju	ne 2019,	Art. 4 §2 and Anne	x Point 1.1		





		Annex 19 reference	ce & text		Sto	atus	How is it achieved		Comments	
ent	1.1.5	The safety policy shall : d) clearly indicate which	types of behaviors are	Prese	ent	🗌 Yes 🗌 No				
Assessment		unacceptable related to the activities and include the c	•	Suitak	ole	🗌 Yes 🗌 No				
Asse		disciplinary action would not ap		Operati	ional	🗌 Yes 🗌 No				
				Effect	ive	🗌 Yes 🗌 No				
	I	PRESENT	SUITABLE	•		OPERATIONAL			EFFECTIVE	
в	have identif unacc	t Culture Policy and principles been defined that clearly fies acceptable and ceptable behaviours to promote Culture	behaviours. The principles ensure that the be applied consistently c whole organisation. The just culture policy and pri	cceptable policy can across the nciples	policy	is evidence of the and supporting applied and pr	principles	fair and people trust There is e between ad unaccepta determined	evidence that the line cceptable and ble behaviour has been I in consultation with staff	
ance			- -	What to lo	ook for					
Guidance	are understandable and clearly visible. and staff representatives. What to look for 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/MIN	•	-		x Point 1.1			
					0.,,					



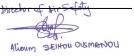


		Annex 19 referenc	e & text		Sto	atus	How is it	achieved	Comments		
ent		Safety objectives have been es with the safety policy and		Pres	sent	Yes 🗌 No					
essment		throughout the organisation;		Suito	able	Yes 🗌 No					
Asse				Operc	ational	Yes 🗌 No					
				Effec	ctive	🗌 Yes 🗌 No					
		PRESENT	SUITABLE	OPERATIONAL					EFFECTIVE		
Ð	the saf	ished that are consistent with fety policy and there is a means nmunicate them throughout the	Safety objectives are relevant Service Provider and its activit Safety objectives are underst and clearly visible. Safety objectives are aligned SSP.	ties. tandable	Service regular	inicated throug	are being and are	is being manageme	ent of the safety objectives monitored by senior ent and action taken to are being met.		
Guidance				What to	look for						
Gui	> (> A > S	 What to look for 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. 									





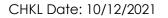
		Annex 19 referen	ce & text		Ste	atus	How is it	achieved	Comments
ent		•	stablished that are consistent they are communicated	Pres	sent	Yes No			
Assessment	throug	nout the organisation;		Suite	able	Yes No			
Ass				Operc	ational	Yes No			
				Effec	ctive	Yes 🗌 No			
		PRESENT	SUITABLE			OPERATIONAL			EFFECTIVE
e	established the safety pol	ctives have been at are consistent with cy and there is a means ite them throughout the	Safety objectives are releva Service Provider and its activi Safety objectives are unders and clearly visible. Safety objectives are aligned SSP.	ities. tandable	Service regular	ly reviewed unicated throug	are being and are	is being manageme	ent of the safety objectives monitored by senior ent and action taken to are being met.
Guidance				What to	look for				
Gui	What to look for > 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 10th June 2019, Art. 4 §1 and Annex Point 1.1.2								

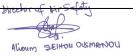




1.2. SAFETY ACCOUNTABILITY AND RESPONSIBILITIES

		Annex 19 reference	e & text		Ste	atus	How is it	achieved	Comments
ent		The service provider shall a) identify the accountable ex	ecutive who, irrespective of	Pre	sent	Yes 🗌 No			
Assessment		other functions, is accountable Provider for the implementation		Suit	able	🗌 Yes 🗌 No			
Ass		effective SMS.		Opero	ational	🗌 Yes 🗌 No			
				Effe	ctive	Yes 🗌 No			
		PRESENT	SUITABLE			OPERATIONAL			EFFECTIVE
nce	appoint	countable manager has been ted with full responsibility and e accountability for the SMS.	The Accountable Execu control of resources.	tive has	that th implem has the	ccountable manage e SMS is properly pented and maint authority to stop th e is an unacceptal isk.	resourced, tained and e operation	that the pe	ntable manager ensures erformance of the SMS is nitored, reviewed and
Guidance				What to	look for				
 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. 									
				responding					
Ministerial Order N°8/A/MINT of 10 th June 2019, Art. 4 §2 and Annex, Po							Point 1.2 – a)		







		Annex 19 reference	e & text		Ste	atus	How is it	achieved	Comments	
-	1.2.2.	•	ety accountability throughout	Pres	sent	🗌 Yes 🗌 No				
Assessment		on the part of senior manageme c) identify the responsibili	ent; ities of all members of	Suite	able	🗌 Yes 🗌 No				
Asse		management as well as of em safety performance of the organ d) document and commun responsibilities, and authorities th	hisation ; hicate safety accountability,	Operc	ational	🗌 Yes 🗌 No				
		define the levels of manager decisions regarding safety risk to	nent with authority to make	Effeo	ctive	🗌 Yes 🗌 No				
	I	PRESENT	SUITABLE			OPERATIONAL	-		EFFECTIVE	
	and re	afety accountability, authorities esponsibilities are clearly defined locumented.	Individuals have access to th accountability, authorities responsibilities (for example, job descriptions or organ charts).	s, and through	of and authori	ne in the organisati fulfil their safety res ties and accountak couraged to contr	ponsibilities, pilities	senior many of the risks and safet principles organisation	ntable manager and the agement team are aware faced by the organisation y management system exist throughout the n so that safety is part of ay language.	
nce				What to	look for					
Guidance	 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. 									
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1.3. APPOINTMENT OF KEY PERSONNEL

		Annex 19 referenc	e & text		Ste	atus	How is it	achieved	Comments
ent	1.3.1.	The service provider shall appo responsible for the implementat		Pres	sent	Yes 🗌 No			
Assessment		SMS.		Suite	able	🗌 Yes 🗌 No			
Ass				Operc	ational	Yes 🗌 No			
				Effec	ctive	🗌 Yes 🗌 No			
		PRESENT	SUITABLE			OPERATIONAL			EFFECTIVE
Guidance	respoi and been	mpetent safety manager who is nsible for the implementation maintenance of the SMS has appointed with a direct ting line with the accountable ager.	Depending on the size of the provider and the complex aviation products or servi- responsibilities for the implem and maintenance of the SMS assigned to one or more fulfilling the role of safety man their sole function or combi- other duties, provided these result in any conflicts of interest	ity of its ces, the mentation 5 may be persons, mager, as ned with e do not	and is r The sc commu manag	ety manager has im naintaining the SMS Ifety manager is Unication with the a ler and escalates s Ippropriate.	in regular ccountable	manage t improveme There is a with the ac the safety trusted adv	manager is competent to the SMS and identifying ents in a timely manner. close working relationship ccountable manager and manager is considered a risor and given appropriate e organisation.
0				What to	look for				
	AAA	Review how the safety manager	v manager has received and e gets access to internal and exte communicates and engages w kload/allocated time to fulfil rol	ith operational staff and senior management.					
				esponding	-				
			Ministerial Order N°8/A/MINT	of 10 th Jur	ne 2019, /	Art. 4 §2 and Annex	Point 1.3.1		



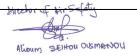


		ICAO doc 9859 gu	uidance		Sto	atus	How is it	achieved	Comments
ent	1.3.2.	The Service Provider has alloc manage the SMS including, but r		Pres	sent	Yes 🗌 No			
Assessment		for safety investigation, analysis, promotion.	·	Suite	ble	Yes 🗌 No			
Ass				Operc	ational	Yes No			
				Effec	ctive	Yes 🗌 No			
	·	PRESENT	SUITABLE			OPERATIONAL			EFFECTIVE
Guidance			Sufficient time and resour allocated to maintain the SM						
,uide				What to	look for				
U		Check there are sufficient resource Review of safety report action and Interviews with Accountable Exec	d closure timescales ; cutive and safety manager.				ety meeting c	ittendance, o	and promotion.
			Corr	esponding	Require	ments			





		ICAO doc 9859 gu	uidance		Ste	atus	How is it	achieved	Comments
ent	1.3.3.	The Service Provider has esta committee(s) that discuss and		Pres	sent	Yes 🗌 No			
Assessment		compliance issues and includes and the heads of functional area		Suite	able	Yes 🗌 No	-		
Ass				Operc	ational	🗌 Yes 🗌 No			
				Effe	ctive	🗌 Yes 🗌 No			
		PRESENT	SUITABLE		OPERATIONAL				EFFECTIVE
Guidance		ervice provider has established committee(s).	Safety committee(s)' struct frequency support the SMS across the organisation. The scope of the safety com includes safety risks and con issues. The attendance of the high safety committee includes at Accountable Executive of heads of functional areas.	functions mittee(s) mpliance hest-level least the	 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. 			stakeholde meetings communice agreed, ta timely	
G	>	Review safety committee and me	eeting structure and Terms of Re			committee/meeting	<u> </u>		
	A A A A A	Review safety committee and me Review meeting attendance leve Review meeting records and action Check that outcomes are commu Evidence of safety objectives, safe Participants challenge what is bei Senior management are aware o	ls. ons. unicated to the rest of the orgo ety performance, and complic ng presented when there is lim f the most significant risks face	anisation. ance are b ited evide	eing revie nce. ganisatic	ewed and discusse on and the overall s	d at meetings		organisation.





1.4. CO-ORDINATION OF EMERGENCY RESPONSE PLANNING

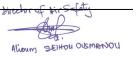
	Annex 19 reference & text		St	atus	How is it	achieved	Comments	
ent	1.4.1. The service provider is required to establish emergency response plan for accidents	F F	resent	🗌 Yes 🗌 No				
Assessment	aircraft operations and other aviation ensure that the emergency response	S 3	uitable	Yes 🗌 No				
Ass	coordinated with the emergency resport organizations it must interface with during	nse plans of those Op	erational	Yes 🗌 No				
	products and services		fective	🗌 Yes 🗌 No				
	PRESENT	SUITABLE		OPERATIONAL			EFFECTIVE	
Guidance	plan (ERP) has been developed and distributed that defines the procedures, roles, responsibilities and actions of the various Service Providers and key personnel.	sonnel have easy access t vant parts of the ERP at a e ERP defines the procedure sponsibilities, and actions a ous organisations and ke el. The frequency an s for testing the ERP ar coordination with othe tions (including non-aviatio tions) is defined with ate means.	III make s s, person of relevar y There is d other S e	P is reviewed and sure it remains up to nel have easy ac nt parts of the ERP s evidence of coord ervice Providers as d	o date. Key cess to the at all times. lination with	testing are	of the ERP review and assessed and actioned to effectiveness.	
•		What	to look for		'			
	 Review emergency response plan. Review how co-ordination with other Service Review how ERP is distributed and where co Talk to key personnel and check they have a Different types of foreseeable emergencies Review when plan was last reviewed and te 	pies are held. access to the ERP have been considered. ested and any actions taken						
		Correspond	• •					
	Minister	rial Order N°8/A/MINT of 10 th	June 2019,	Art. 4 §2 and Annex	x, Point 1.4.			
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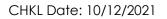
1.5. SMS DOCUMENTATION

	Annex 19 reference & text		Status			How is it achieved		Comments		
ent	1.5.1. The service provider shall develop and manual that describes its:	maintain an SMS	Prese	ent	Yes 🗌 No					
Assessment	a) safety policy and objectivesb) SMS requirements		Suita	ble	Yes 🗌 No					
Ass	 c) SMS processes and procedures d) accountability, responsibilities and c 	authorities for SMS	Opera	tional	Yes 🗌 No					
	processes and procedures		Effec	tive	🗌 Yes 🗌 No					
	PRESENT SUITABLE			OPERATIONAL			EFFECTIVE			
Guidance		to all relevant person documentation	nnel.	other in and is process SMS doo Everyon with an	cumentation is con ternal management representative of es in place. Chan cumentation are much has easy accessed of follow the relevent documentation.	nt systems the actual nges to the nanaged s to, familiar		mentation is proactively or improvement.		
ษ	What to look for									
	 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. 									
	Ministerio	al Order N°8/A/MINT c	of 10 th Jun	e 2019, A	Art. 4 §2 and Annex	Point 1.5.1				





		Annex 19 reference	e & text		Sto	atus	How is it	achieved	Comments	
ent	1.5.2.	The service provider shall de operational records as part of its		Pre	sent	Yes 🗌 No				
Assessment				Suite	able	Yes 🗌 No				
Ass				Opero	ational	Yes 🗌 No				
				Effe	ctive	Yes 🗌 No				
		PRESENT	SUITABLE		OPERATIONAL			EFFECTIVE		
	The SMS documentation defines the Data protection and confide SMS outputs and which records of SMS rules have been defined.			ntiality SMS activities are appropriately store and found to be complete and					ocumentation defines the s and which records of SMS	
е		tivities will be stored.			consistent with appropriate protection and control.			activities wi		
dan				What to	look for					
Gui	What to look for > 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.									
			-	esponding						
			Ministerial Order N°8/A/MINI	of 10 th Ju	ne 2019, <i>i</i>	Art. 4 §2 and Anne>	Point 1.5.2			







2. SAFETY RISK MANAGEMENT

2.1. HAZARD IDENTIFICATION

	Annex 19 reference & text		Status		How is it	achieved	Comments	
ent	2.1.1. The service provider shall develop and ma identify hazards associated with its av	· · · · · · · · · · · · · · · · · · ·	esent	Yes No				
Assessment	services. Hazard identification shall combination of reactive and proactive m	301	table	Yes No				
Ass			rational	Yes No				
		Effe	ective	Yes 🗌 No				
	PRESENT	SUITABLE	OPERATIONAL			EFFECTIVE		
	There is a process that defines how Respons	sibilities, timelines, and format	d format The hazards are ident		itified and	There is a	process that defines how	
	reactive and proactive hazard for the f	eedback are meaningful and	documer	nted. Huma	n and	reactive	and proactive hazard	
	identification is gathered from multiple well defined.		organisat	tional Factors rela	ted hazards		on is gathered from multiple	
		otection and confidentiality is	entiality is are being identified.				ernal and external).	
e U	ensured	•		5		,	,	
Guidance		What t	o look for					
in O	Review the supporting SMS documentation	(hazard logs, meeting minute	s, safety perf	formance reports	, risk assessme	ents 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.
		Correspondin	g Requirem	ents				
	Ministe	erial Order N°8/A/MINT of 10 th .	lune 2019, A	rt. 4 §2 and Anne	x Point 2.1			





		Annex 19 reference	ce & text		Ste	atus	How is it	achieved	Comments
ţ	2.1.2.	There is a confidential reporting appropriate feedback to the rep		Pre	sent	🗌 Yes 🗌 No			
Assessment		appropriate, to the rest of the or		Suite	able	Yes 🗌 No			
Asse				Operc	Operational Yes No				
				Effe	ctive	Yes 🗌 No			
	PRESENT SUITABLE					OPERATIONAL			EFFECTIVE
Guidance	to co and v feedb datab Respo requir The p	is a confidential reporting system apture mandatory occurrences voluntary reports that includes a back system and stored on a base. Insibilities have been defined as red by regulation. rocess identifies how reports are ned and timescales specified.	The reporting system is acces easy to use by all personnel.		any ac where organis Reports analyse People respons reports defined	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			healthy reporting system ne volume of reporting and of reports received. orts are acted on in a timely ng system is being used to er management decisions uously improve. ng system is available for s to report (partners, nd contractors).
Guio				What to	look for				
 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. 									third parties.
			Corr	responding	g Require	ments			
			Instruction N°17/I/C	CAA/DG c	of 28th No	vember 2019, Point	4.3		

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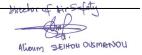
	ICAO 9859 guidan	ce & text		Ste	atus	How is it	achieved	Comments	
ent	2.1.3. a) There is a process in place to a information to look for trends and		Present 🗌 Yes 🗌 t		Yes 🗌 No				
Assessment	management information.		Suito	Suitable 🗌 Yes 🗌 No		-			
Ass	b) Safety investigations are c trained personnel to identify roo		Operc	ational	Yes No				
	not just what happened).		Effec	ctive	🗌 Yes 🗌 No				
	PRESENT SUITABLE				OPERATIONAL			EFFECTIVE	
dance	The triggers for safety investigations are identified.			docum organis hazard Safety		related to ed.	The trigger are identifie	s for safety investigations ed.	
lida	What to look for								
Guidance	 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/I/CCAA/DG of 28th November 2019, Point 7								
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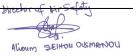
2.2. RISK ASSESSMENT AND MITIGATION

		Annex 19 reference & text			Status			achieved	Comments
ent	2.2.1.	The service provider shall develo ensures analysis, assessment of t		Pres	sent	🗌 Yes 🗌 No			
Assessment		identified hazards.		Suite	able	🗌 Yes 🗌 No			
Ass				Operc	ational	Yes No	-		
				Effe	ctive	Yes 🗌 No			
		PRESENT	SUITABLE			OPERATIONAL			EFFECTIVE
	assess Criteri the Se	is a process for the analysis and sment of safety risks. ias for evaluating the level of risk ervice Provider is willing to accept efined.	eria are e service ces. eptability ed and timelines e clearly	carried based	nalysis and asses out in a consiste on the defined pro- fined risk acceptak d.	ent manner cess.	assessment Criterias for	rocess for the analysis and of safety risks. evaluating the level of risk Provider is willing to accept I.	
nce		What to look for							
What to look for > 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.									
			Ministerial Order N°8/A/MIN	f of 10 th Ju	ne 2019, .	Art. 4 §1 and Annex	k Point 2.2.1		





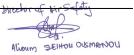
		Annex 19 referenc	e & text	Status			How is it achieved		Comments
ant	2.2.2.	The service provider shall develop ensures control of the safety ris	-	Present 🗌 Yes 🗌 No					
Assessment		hazards.		Suito	able	Yes No			
Asse			Operc	ational	Yes No				
				Effec	ctive	Yes No			
	PRESENT SUITABLE					OPERATIONAL			EFFECTIVE
Guidance	place	ervice Provider has a process in to decide and apply the opriate risk controls.	Responsibilities and timeli determining and accepting controls are defined.		applied accept and allo Human of the d Senior i mediun	priate risk controls to reduce the table level includin ocation of responsi Factors are consid development of risk management haven n and high risk h tigation and contro	risk to an ng timelines bilities. ered as part controls. e visibility of azards and	sustainable a timely m additional r	s take into consideration
Guid				What to	look for				
0	 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. 								
			Ministerial Order N°8/A/MIN	of 10 th Jur	ne 2019, <i>i</i>	Art. 4 §1 and Annex	Point 2.2.1		





2.3. INTERFACE MANAGEMENT

		Annex 19 Appendix	2 note 2	Status			How is it	How is it achieved Comm		
ent		The Service Provider has identi relevant internal and external inte		Pres	sent	Yes 🗌 No				
Assessment		of such interfaces.		Suite	able	🗌 Yes 🗌 No				
Ass				Operc	ational	🗌 Yes 🗌 No				
					ctive	Yes 🗌 No				
		PRESENT	SUITABLE			OPERATIONAL			EFFECTIVE	
	docur and	ervice Provider has identified and mented the relevant internal external interfaces and the al nature of such interfaces.	All relevant interfaces are ac The way the interfaces are n is appropriate to the criticality of safety. The means for communicatin information is defined.	nanaged y in terms	in terms identification and risk management. and external interfa There is an assurance activity to assess critical nature of such in			Provider has identified and ed the relevant internal nal interfaces and the ure of such interfaces.		
	What to look for									
Guidance		Review how interfaces have been Review evidence that: Safety critical issues, areas, and Safety occurrences are being re Risk control actions are applied of Interfaces are reviewed periodic Verify that training and safety pro External organisations participate Check the identified interfaces (e	associated hazards are identified ported and addressed; and regularly reviewed; and cally. motion sessions are organised with share safe .g., interfaces with aerodromes	ed; with releva ety informa	nt extern ition. NTC, train	al organisations. Ing organisations, c	ontracted or	ganisations, c	and the State)	





3. SAFETY ASSURANCE

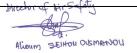
3.1. SAFETY PERFORMANCE MONITORING AND MEASUREMENT

		Annex 19 reference	e & text	Status			How is it achieved		Comments
ent	3.1.1.	The service provider shall develo verify the safety performance	•	Pres	sent	🗌 Yes 🗌 No			
Assessment		validate the effectiveness of safe	ety risk controls.	Suito	able	🗌 Yes 🗌 No			
Ass				Operc	ational	🗌 Yes 🗌 No			
				Effec	ctive	🗌 Yes 🗌 No			
		PRESENT SUITABLE				OPERATIONAL			EFFECTIVE
Guidance	wheth	is a process in place to assess her the risk controls are applied effective.	SPIs are focused on what is in rather than what is easy to Reliability of data sour considered in the design of are linked to the identified safety objectives. Frequent responsibility for the trend mo of SPIs are appropriate. targets have been set. State considered, as applicable.	measure. urces is SPIs. SPIs risks and ncy and nonitoring Realistic e SPIs are	organis meanir continu for tren	ously monitored ar	asured and e being	performance the effectiv on reliable of SPIs are updated to relevant. Where the	reviewed and regularly to ensure they remain SPIs indicate that a risk ineffective, appropriate
				What to					
		Evidence of risk controls being ass Evidence of risk controls applied b Information from safety assurance Review where risk controls have b	by contracted organisations / the and compliance monitoring c	hird parties activities fe	s being a eds bacl	ssessed.	managemen	t process.	
				responding	•				
			Ministerial Order N°8/A/MI	NT of 10 th J	une 2019	9, Art. 4 §1 and Ann	ex Point 3		

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		Annex 19 referenc	e & text		Ste	atus	How is it	achieved	Comments	
ut.	3.1.2.	The service provider's safety per reference to the safety perform		Pre	sent	Yes 🗌 No				
Assessment		performance targets of the organization's safety objectives.	-	Suite	able	Yes 🗌 No				
Ass				Operc	ational	Yes 🗌 No				
				Effe	ctive	🗌 Yes 🗌 No				
	PRESENT SUITABLE					OPERATIONAL			EFFECTIVE	
Guidance	safety Provic safety targe safety The S audit audits A pe respo been	is a process in place on how the y performance of the Service der will be measured including y performance indicators and its linked to the organisation's y objectives. Service Provider has an internal program and procedures for s, reporting, and records. erson or group of persons with insibilities for internal audits has identified and they have direct iss to the Accountable Executive.	Responsibilities and timel determining, accepting, following-up the co preventive action are define Compliance monitoring contracted activities. The internal audit program of applicable regulations and details of the schedule of aud	and prrective/ d. includes covers all includes	organis the SF monitor The cor being reviewe After a analysis	afety performance ation is being me Pls are being of red and analysed f mpliance monitoring followed and ed. in audit, there is s of causal factors rrective/preventive	asured and continuously or trends. g program is regularly appropriate	performance the effective on reliable SPIs are updated relevant. Where the	reviewed and regularly to ensure they remain SPIs indicate a risk control g effective appropriate	
					look for					
	 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. 									
				responding						
			Ministerial Order N°8/A/MI	NT of 10 th J	lune 2019	, Art. 4 §1 and Ann	ex Point 3			
									in the	





3.2. THE MANAGEMENT OF CHANGE

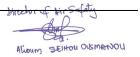
	Annex 19 reference & text		e & text		Sto	itus	How is it	achieved	Comments		
lent	3.2.1.			Pre	sent	Yes 🗌 No					
Assessment		identify changes which may c associated with its aviation produ		Suite	able	Yes 🗌 No					
Ass		and manage the safety risks	that may arise from those	Operc	ational	Yes 🗌 No					
		changes.			ctive 🗌 Yes 🗌 No						
		PRESENT	SUITABLE	OPERATIONAL				EFFECTIVE			
ec	The organisation has established a management of change process to identify whether changes have an impact on safety and to manage any 			business aces with ents. The the risk assurance	is bein identific approp place b change Human conside	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			ation has established ment of change process to nether changes have an safety and to manage any risks in accordance with afety risk management		
Guidance				What to	look for						
 Key stakeholders are involved in the process. Review what triggers the process and recent changes that have been through the risk assess 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 restructurir Review impact of change on training and competencies and evidence of Human Factors iss 					ted. jes. estructuring, downsi actors issues being	zing, IT projec		əs.			
	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

	Annex 19 reference & text		Status			achieved	Comments	
Assessment	3.3.1. The service provider shall monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness		esent	Yes 🗌 No				
	of the SMS.	Suit	table	Yes No				
			ational	Yes 🗌 No				
		Effe	ective	Yes 🗌 No				
	PRESENT SUITABLE			OPERATIONAL		EFFECTIVE		
Û	There is a process in place to monitorThe SMS is periodically reviewand review the effectiveness of thethe review is supported beSMS using the available data andinformation and safety coinformation.activities.Senior management and departments are involved.The decision-making is data isExternal information is considered		periodi assessn	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.	
Guidance	What to look for							
Gui	 What information and safety data is used for management decision making for continuous improvement? Evidence of: 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

	Annex 19 reference & text			Status			How is it achieved		Comments
Assessment	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.		Pres	sent	Yes 🗌 No				
			Suite	Suitable					
			Operc	ational	🗌 Yes 🗌 No				
			Effec	ctive	🗌 Yes 🗌 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 includes human training includes human organisational factors inclu culture and non-technical the intent of reducing human		nce and All staff cd. n and ding just skills with	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.		
nce	What to look for								
Guidance	 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									
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Assessment	Annex 19 reference & text			Status			How is it	achieved	Comments
	4.1.2.	4.1.2. The scope of the safety training program shall be appropriate to each individual's involvement in the SMS.		Pres	sent	🗌 Yes 🗌 No			
				Suite	able	Yes 🗌 No			
			Operc	ational	Yes 🗌 No				
				Effec	ctive	Yes 🗌 No			
		PRESENT SUITABLE			OPERATIONAL			EFFECTIVE	
Guidance	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.		lace to actual gainst the	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.		
Gu	What to look for								
	 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

	Annex 19 reference & text			Status			achieved	Comments
-	4.2.1. The service provider shall develop and maintain a formal means for safety communication that:		Prese	Present Yes No				
Assessment	 ensures personnel are aware of the SMS to a degree commensurate with their positions conveys safety-critical information explains why particular actions are taken to improve safety; and explains why safety procedures are introduced or changed 		Suita	ıble	🗌 Yes 🗌 No			
			Opera	tional	Yes 🗌 No			
			Effec	tive	🗌 Yes 🗌 No			
	PRESENT	SUITABLE			OPERATIONAL		EFFECTIVE	
Guidance	There is a process to communicate safety critical information. The process determined who and how safety information be communicated. The process includes co service providers and p where appropriate. The means of communicated adapted to the audience significance of what is communicated.		needs to ontracted personnel, ation are and the	identifie through personn contrac	afety critical information is being dentified and communicated hroughout the organisation to all personnel as relevant including contracted Service Providers and personnel where appropriate.		There is a process to communicate safety critical information.	
0	What to look for							
	 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. 							
	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.CHKL.001 and replaces DSA.SAF.CHKL.002 of the 03/01/2019.

