

## **EASA Part 145 Safety Risk Status Checklist by Business Area – initial**

Sofema Aviation Services (SAS) [www.sassofia.com](http://www.sassofia.com) – Presents the following checklist which is suitable for use in support of an EASA Part 145 Safety Audit – Note that the objective is related primarily to performance including risk assessment and visible evidence of the effectiveness of Mitigations.

This checklist should be considered as an initial checklist and is designed to review and monitor overall business and safety risks within each business area of an EASA Part 145 organization, focusing on identifying, assessing, mitigating risks, and measuring effectiveness, including specific elements related to the Safety Department.

### **Maintenance Operations - Risk Identification**

Are potential hazards in maintenance tasks and procedures identified? (Ref MOE for High Level Procedures – To review All)

- How is this evidenced?
- How is the effectiveness measured?

Concerning a process for reporting new hazards in maintenance operations?

- How is this evidenced?
- How is the effectiveness measured?

Are both reactive and proactive hazard identification methods used?

- How is this evidenced?
- How is the effectiveness measured?

Performance of Risk Assessment

Are all relevant risks in maintenance operations assessed for impact and likelihood?

- How is this evidenced?
- How is the effectiveness measured?

Are risk assessments for maintenance documented and regularly reviewed? (What is considered regular? – Initial then Annual until stabilized?)

- How is this evidenced?
- How is the effectiveness measured?

Is a risk matrix used to prioritize maintenance risks?

- How is this evidenced?
- How is the effectiveness measured?

Risk Mitigation - Are risk control measures implemented for identified maintenance hazards?

- How is this evidenced?
- How is the effectiveness measured?

Are the effectiveness of risk control measures in maintenance operations regularly evaluated?

- How is this evidenced?
- How is the effectiveness measured?

Are maintenance procedures updated based on new risk information?

- How is this evidenced?
- How is the effectiveness measured?

### **Engineering and Technical Services – SB & Modification Support**

Are risks associated with SB & Modification Support - identified?

- How is this evidenced?
- How is the effectiveness measured?

Are there controls to mitigate design and modification risks?

- How is this evidenced?
- How is the effectiveness measured?

Are major maintenance tasks assessed for potential impacts on overall safety?

- How is this evidenced?
- How is the effectiveness measured?

### Technical Data Management

Are risks in the management and use of technical data identified?

- How is this evidenced?
- How is the effectiveness measured?

Are procedures in place to ensure the accuracy and currency of technical data?

- How is this evidenced?
- How is the effectiveness measured?

Are technical data management risks regularly reviewed?

- How is this evidenced?
- How is the effectiveness measured?

### **Supply Chain and Logistics - Supplier and Vendor Risks**

Are risks associated with suppliers and vendors identified and managed?

- How is this evidenced?
- How is the effectiveness measured?

Are there procedures to ensure suppliers meet safety and quality standards?

- How is this evidenced?
- How is the effectiveness measured?

Are risks from supply chain disruptions assessed and mitigated?

- How is this evidenced?
- How is the effectiveness measured?

Material Handling and Storage

Are risks in the handling and storage of materials identified?

- How is this evidenced?
- How is the effectiveness measured?

Are storage conditions regularly monitored to prevent degradation or hazards?

- How is this evidenced?
- How is the effectiveness measured?

Are material handling procedures reviewed and updated based on risk assessments?

- How is this evidenced?
- How is the effectiveness measured?

Quality Assurance and Compliance Monitoring

Audit and Inspection Risks

Are risks identified through quality audits and inspections?

- How is this evidenced?
- How is the effectiveness measured?

Are audit findings used to improve risk management practices?

- How is this evidenced?

- How is the effectiveness measured?

Are compliance monitoring activities regularly reviewed for effectiveness?

- How is this evidenced?
- How is the effectiveness measured?

Regulatory Compliance Risks

Are risks from regulatory changes identified and managed?

- How is this evidenced?
- How is the effectiveness measured?

Are there procedures to stay updated with regulatory requirements?

- How is this evidenced?
- How is the effectiveness measured?

Are compliance risks regularly assessed and mitigated?

- How is this evidenced?
- How is the effectiveness measured?

### **Human Resources and Training**

Personnel Competence and Training Risks - Are risks from inadequate training and qualifications identified?

- How is this evidenced?
- How is the effectiveness measured?

Are training programs regularly updated based on new risk information?

- How is this evidenced?
- How is the effectiveness measured?

Are personnel competence and performance monitored to mitigate risks?

- How is this evidenced?
- How is the effectiveness measured?

### **Fatigue and Human Factors Risks**

Is a fatigue risk management system in place for all staff?

- How is this evidenced?

- How is the effectiveness measured?

Are work hours and shift patterns monitored to prevent fatigue-related risks?

- How is this evidenced?
- How is the effectiveness measured?

Are human factors risks regularly assessed and mitigated?

- How is this evidenced?
- How is the effectiveness measured?

## 6. Health, Safety, and Environment (HSE)

### Workplace Safety Risks

Are workplace hazards identified and documented?

- How is this evidenced?
- How is the effectiveness measured?

Are risk assessments conducted for all workplace activities?

- How is this evidenced?
- How is the effectiveness measured?

Are safety measures implemented and regularly reviewed for effectiveness?

- How is this evidenced?
- How is the effectiveness measured?

### Environmental Risks

Are environmental hazards such as chemical spills or waste management identified?

- How is this evidenced?
- How is the effectiveness measured?

Are there procedures to mitigate environmental risks?

- How is this evidenced?
- How is the effectiveness measured?

Are environmental risks regularly reviewed and updated?

- How is this evidenced?
- How is the effectiveness measured?

### Emergency Preparedness and Response

Emergency Procedures - Are emergency response plans in place and regularly reviewed?

- How is this evidenced?
- How is the effectiveness measured?

Are potential emergency scenarios identified and mitigated?

- How is this evidenced?
- How is the effectiveness measured?

Are emergency drills conducted to test and improve preparedness?

- How is this evidenced?
- How is the effectiveness measured?

Crisis Management - Is there a crisis management plan for severe safety incidents?

- How is this evidenced?
- How is the effectiveness measured?

Are key personnel trained in crisis management procedures?

- How is this evidenced?
- How is the effectiveness measured?

Are crisis management procedures regularly updated?

- How is this evidenced?
- How is the effectiveness measured?

## **Facilities and Infrastructure**

Infrastructure Risks - Are risks related to the maintenance and safety of facilities identified?

- How is this evidenced?
- How is the effectiveness measured?

Are there procedures to ensure the safety and reliability of infrastructure?

- How is this evidenced?
- How is the effectiveness measured?

Are facility risks regularly reviewed and mitigated?

- How is this evidenced?

- How is the effectiveness measured?

#### Equipment and Tooling Risks

Are risks associated with equipment and tooling identified?

- How is this evidenced?
- How is the effectiveness measured?

Are maintenance and calibration records for equipment and tooling up-to-date?

- How is this evidenced?
- How is the effectiveness measured?

Are equipment and tooling risks regularly assessed and mitigated?

- How is this evidenced?
- How is the effectiveness measured?

#### Information Technology and Data Security - IT System Risks

Are risks associated with IT systems and data security identified?

- How is this evidenced?
- How is the effectiveness measured?

Are there procedures to protect against cyber threats and data breaches?

- How is this evidenced?
- How is the effectiveness measured?

Are IT system risks regularly reviewed and updated?

- How is this evidenced?
- How is the effectiveness measured?

#### Data Management Risks

Are risks in the management and storage of data identified?

- How is this evidenced?
- How is the effectiveness measured?

Are there controls to ensure data integrity and confidentiality?

- How is this evidenced?

- How is the effectiveness measured?

Are data management risks regularly assessed and mitigated?

- How is this evidenced?
- How is the effectiveness measured?

## **Finance and Administration - Financial Risks**

Are risks associated with financial management identified?

- How is this evidenced?
- How is the effectiveness measured?

Are there procedures to mitigate financial risks such as fraud or mismanagement?

- How is this evidenced?
- How is the effectiveness measured?

Are financial risks regularly reviewed and updated?

- How is this evidenced?
- How is the effectiveness measured?

Administrative Risks - Are risks in administrative processes identified and managed?

- How is this evidenced?
- How is the effectiveness measured?

Are there controls to ensure the efficiency and safety of administrative operations?

- How is this evidenced?
- How is the effectiveness measured?

Are administrative risks regularly assessed and mitigated?

- How is this evidenced?
- How is the effectiveness measured?

## **Safety Department Effectiveness**

Overall Risk Management - Risk Identification

Are potential risks within the Safety Administration Department identified?

- How is this evidenced?
- How is the effectiveness measured?

Is there a structured process for reporting new risks within the department?

- How is this evidenced?



- How is the effectiveness measured?

Are risk control measures implemented for identified risks?

- How is this evidenced?
- How is the effectiveness measured?

Is the effectiveness of risk control measures regularly evaluated?

- How is this evidenced?
- How is the effectiveness measured?

Training and Competence - Training Programs

Is there a comprehensive training program for safety personnel?

- How is this evidenced?
- How is the effectiveness measured?

Are training programs regularly updated based on new risk information?

- How is this evidenced?
- How is the effectiveness measured?

Competence Monitoring - Are personnel competence and performance monitored regularly?

- How is this evidenced?
- How is the effectiveness measured?

Are gaps in training or competence identified and addressed promptly?

- How is this evidenced?
- How is the effectiveness measured?

Safety Communication - Internal Communication

Are safety communications clear, timely, and effective?

- How is this evidenced?
- How is the effectiveness measured?

Is there a feedback mechanism for staff to report safety concerns or suggestions?

- How is this evidenced?
- How is the effectiveness measured?

External Communication- - Are communication channels with external stakeholders (e.g., regulators, suppliers) well-maintained?

- How is this evidenced?

- How is the effectiveness measured?

Are safety-related communications documented and reviewed regularly?

- How is this evidenced?
- How is the effectiveness measured?

Safety Performance Monitoring - Safety Performance Indicators (SPIs)

Are SPIs developed to monitor safety performance effectively?

- How is this evidenced?
- How is the effectiveness measured?

Are SPIs regularly reviewed and updated based on performance data?

- How is this evidenced?
- How is the effectiveness measured?

Safety Targets

Are clear safety targets set and communicated throughout the organization?

- How is this evidenced?
- How is the effectiveness measured?

Is progress towards safety targets regularly monitored and reported?

- How is this evidenced?
- How is the effectiveness measured?

Safety Reporting - Incident and Hazard Reporting

Is there a robust system for reporting safety incidents and hazards?

- How is this evidenced?
- How is the effectiveness measured?

Are reported incidents and hazards analyzed to identify trends and root causes?

- How is this evidenced?
- How is the effectiveness measured?

Follow-Up and Action

Are corrective actions taken promptly to address reported safety issues?

- How is this evidenced?
- How is the effectiveness measured?

Is the effectiveness of corrective actions monitored and documented?

- How is this evidenced?
- How is the effectiveness measured?

Documentation and Record Keeping - Safety Documentation

Is safety-related documentation up-to-date and easily accessible?

- How is this evidenced?
- How is the effectiveness measured?

Are changes to safety procedures and policies documented and communicated?

- How is this evidenced?
- How is the effectiveness measured?

Record Keeping

Are records of safety activities, assessments, and reports maintained securely?

- How is this evidenced?
- How is the effectiveness measured?

Are records regularly reviewed for accuracy and completeness?

- How is this evidenced?
- How is the effectiveness measured?

Audit and Review - Internal Audits

Are regular internal audits conducted to assess the safety department's performance?

- How is this evidenced?
- How is the effectiveness measured?

Are audit findings used to improve safety processes and procedures?

- How is this evidenced?
- How is the effectiveness measured?

Management Reviews

Are management reviews conducted to evaluate the effectiveness of the safety department?

- How is this evidenced?
- How is the effectiveness measured?

Are action plans developed and implemented based on review findings?

- How is this evidenced?
- How is the effectiveness measured?

### **Crisis and Emergency Management - Crisis Management Plans**

Is there a crisis management plan in place for the safety department?

- How is this evidenced?
- How is the effectiveness measured?

Are crisis management procedures regularly tested and updated?

- How is this evidenced?
- How is the effectiveness measured?

Emergency Response

Are emergency response plans specific to the safety department established?

- How is this evidenced?
- How is the effectiveness measured?

Are emergency response drills conducted regularly?

- How is this evidenced?
- How is the effectiveness measured?