

The Compliance List is based on: UK REGULATION (EU) No 1321/2014 A on continuing airworthiness and related UK CAA AMC & GM

Organisation/Department/Unit Audited:

This compliance list has been checked on (date):

This compliance list has been checked by (name):

Contents of the compliance list:

This compliance checklist is a document of Sofema Aviation Services for compliance with the standards of UK Regulation (EU) No 1321/2014 Annex II Part-145. Each line contains reference to one or more Part-145 paragraph (or AMC and GM) to call the user's attention when determining and checking the organization's documented procedure reference.

The MOE and documented procedures must contain the requirements given in Annex II (Part-145) as applicable, which are introduced in the column REQUIREMENTS. The text in the REQUIREMENTS column can be only a short description of the original text stated in the Annex II (Part-145). The correlation between the standard requirements and Quality Manual or procedure shall be entered in the column "REFERENCE/COMMENTS", also used for notes and declarations if needed.

The columns OK, NC and N/A should be marked:

OK – if compliance is documented

NC - if compliance is not documented

N/A – if the requirement is not applicable to the audited Organisation/Department/Unit

All lines in this compliance list should have a remark either stating which MOE or procedure reference is concerned or N/A if not applicable.

Part 145 Reference	Part 145 Requirements	Related GM/AMC Material	OK	NC	N/A	REFERENCE / COMMENTS
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145.A.15 Application for an Organisation Certificate						
145.A.15(a)	An application for a certificate or an amendment to an existing certificate in accordance with this Annex shall be made in a form and manner established by the UK CAA, taking into account the applicable requirements of Annex I (Part-M), Annex Vb (Part-ML) and this Annex.	AMC1 145.A.15				
145.A.15(b)	Applicants for an initial certificate pursuant to this Annex must provide the CAA with: 1. The results of a pre-audit performed by the organisation against the applicable requirements provided for in Annex I (Part-M), Annex Vb (Part-ML) and this Annex; 2. Documentation demonstrating how they intend to ensure compliance with the requirements of this Regulation.	AMC2 145.A.15				
145.A.20 Terms of approval and scope of work						
145.A.20(b)	The organisation must comply with the terms of the approval attached to the organisation certificate issued by the CAA, and within the scope of work specified within the MOE.					
145.A.30 Personnel Requirements						
145.A.30(e)	The organisation must establish and control the competency of the personnel involved in any maintenance, airworthiness reviews, safety management and compliance monitoring in accordance with a procedure and to a standard agreed with the CAA. In addition to the necessary	AMC1 145.A.30(e) AMC2 145.A.30(e) AMC3 145.A.30(e) AMC4 145.A.30(e) AMC5 145.A.30(e) GM1 145.A.30(e) GM2 145.A.30(e) GM3				

Part 145 Reference	Part 145 Requirements	Related GM/AMC Material	OK	NC	N/A	REFERENCE / COMMENTS
	expertise related to the job function, the competency of the personnel must include an understanding of the application of safety management principles, including human factors and human performance issues, which is appropriate to their function and responsibilities in the organisation.	145.A.30(e) GM4 145.A.30(e) GM5 145.A.30(e)				
145.A.30(f)	The organisation shall ensure that personnel who carry out or control a continued-airworthiness non-destructive test of aircraft structures or components, or both, are appropriately qualified for the particular non-destructive test in accordance with the European or equivalent standard recognised by the CAA. Personnel who carry out any other specialised task shall be appropriately qualified in accordance with officially recognised standards. By derogation from this point, personnel referred to in point (g), points (h)(1) and (h)(2), qualified in category B1, B3 or L in accordance with Annex III (Part-66), may carry out and/or control colour contrast dye penetrant tests.	AMC 145.A.30(f)				
145.A.35 Certifying Staff and Support Staff						
145.A.35(h)	The certification authorisation must be in a style that makes its scope clear to the certifying staff and any authorised person who may require to examine the authorisation. Where codes are used to define scope, the organisation must make a code translation readily available. "Authorised person" means an official of the CAA.					
145.A.35(o)	The task training referred to in point (n)(i) must include practical hands-on training and theoretical training as appropriate for	AMC 145.A.35(o)				

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	<p>each task authorised. Satisfactory completion of training must be demonstrated by an examination or by workplace assessment. Task training and examination or assessment must be carried out by the maintenance organisation issuing the certifying staff authorisation. The practical experience must also be obtained within that maintenance organisation.</p>					
145.A.37 Airworthiness Review Staff						
145.A.37(a)	<p>In order to be approved to carry out airworthiness reviews and to issue the corresponding airworthiness review certificates (ARC) for aircraft covered by Annex Vb (Part-ML), the organisation must have airworthiness review staff that comply with all of the following requirements:</p> <ul style="list-style-type: none"> they have acquired experience in continuing airworthiness of at least 1 year for sailplanes and balloons and of at least 3 years for all other aircraft. they hold a certifying staff authorisation for the corresponding aircraft. they have acquired knowledge of Annex I (Part-M), Subpart C, or of Annex Vb (Part-ML), Subpart C. they have acquired knowledge of the procedures of the maintenance organisation relevant to the airworthiness review and issue of the airworthiness review certificate. 	AMC1 145.A.37 GM 145.A.37				
145.A.37(b)	<p>Before the organisation issues an airworthiness review authorisation to a candidate, that candidate must perform an airworthiness review under the supervision of the CAA or under the supervision of a person that is already authorised as airworthiness review staff by the</p>	GM1 145.A.37(b)				

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	organisation. If this airworthiness review under supervision is satisfactory, the CAA may formally accept that candidate to become airworthiness review staff.					
145.A.37(c)	The organisation must ensure that the airworthiness review staff can demonstrate appropriate recent continuing airworthiness experience.					
145.A.40 Equipment and tools						
145.A.40(a)	<p>The organisation shall have available and use the necessary equipment and tools to perform the approved scope of work.</p> <p>(i) Where the manufacturer specifies a particular tool or equipment, the organisation shall use that tool or equipment, unless the use of alternative tooling or equipment is agreed by the CAA via procedures specified in the exposition.</p> <p>(ii) Equipment and tools must be permanently available, except in the case of any tool or equipment that is so infrequently used that its permanent availability is not necessary. Such cases shall be detailed in an exposition procedure.</p> <p>(iii) An organisation approved for base maintenance shall have sufficient aircraft access equipment and inspection platforms/docking as required for the proper inspection of the aircraft.</p>					
145.A.42 Components						
145.A.42(a)	<p>Classification of components. All components shall be classified into the following categories:</p> <p>(i) Components which are in a satisfactory condition, released on a CAA Form 1 or equivalent and marked in accordance with Subpart Q of the Annex I (Part 21) to</p>	<p>AMC1 145.A.42(a)(i) GM1 145.A.42(a)(i) AMC1 145.A.42(a)(ii) AMC1 145.A.42(a)(iii) AMC1 145.A.42(a)(iv) AMC2 145.A.42(a)(iv) AMC1 145.A.42(a)(v)</p>				

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	<p>Regulation (EU) No 748/2012, unless otherwise specified in point 21.A.307 of Annex I (Part 21) to Regulation (EU) No 748/2012 in point M.A.502 of Annex I (Part-M), in point ML.A.502 of Annex Vb (Part-ML), or in this Annex (Part-145).</p> <p>(ii) Unserviceable components which shall be maintained in accordance with this Regulation.</p> <p>(iii) Components categorised as unsalvageable because they have reached their mandatory life limitation or contain a non-repairable defect.</p> <p>(iv) Standard parts used on an aircraft, engine, propeller or other aircraft component when specified in the maintenance data and accompanied by evidence of conformity traceable to the applicable standard.</p> <p>(v) Material, both raw and consumable, used in the course of maintenance when the organisation is satisfied that the material meets the required specification and has appropriate traceability. All material shall be accompanied by documentation clearly relating to the particular material and containing a conformity to specification statement as well as the manufacturing and supplier source</p>					
145.A.50 Certification of Maintenance						
145.A.50(d)	<p>A certificate of release to service shall be issued after the required maintenance on a component whilst off the aircraft has been carried out. The authorised release certificate 'CAA Form 1' referred to in Appendix II of Annex I (Part M) constitutes the component certificate of release to service except if</p>	<p>AMC1 145.A.50(d) AMC2 145.A.50(d) GM 145.A.50(d)</p>				

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	otherwise specified in point M.A.502 of Annex I (Part-M) or ML.A.502 of Annex Vb (Part-ML), as applicable. When an organisation maintains a component for its own use, a CAA Form 1 may not be necessary depending upon the organisation's internal release procedures defined in the exposition.					
145.A.55 Maintenance and airworthiness review records						
145.A.55(a)	The organisation shall record all details of maintenance work carried out. As a minimum, the organisation shall retain records necessary to prove that all requirements have been met for the issue of the certificate of release to service, including subcontractor's release documents, and for the issue of any airworthiness review certificate.	GM 145.A.55 GM1 145.A.55(a)				
145.A.55(b)	The organisation shall provide a copy of each certificate of release to service to the aircraft owner or operator, together with a copy of any detailed maintenance record associated with the work carried out and necessary to demonstrate compliance with point M.A.305 of Annex I (Part-M) or ML.A.305 of Annex Vb (Part-ML), as applicable.					
145.A.55(c)	<p>The organisation shall retain a copy of all detailed maintenance records and any associated maintenance data for three years from the date on which the aircraft or component to which the work relates was issued with a certificate of release to service.</p> <p>In addition, it shall retain a copy of all the records related to the issue of airworthiness review certificates for three years from the date of issue and shall provide a copy of them to the owner</p>	AMC1 145.A.55(c)				

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	<p>of the aircraft.</p> <p>1. The records under this point shall be stored in a manner that ensures protection from damage, alteration and theft.</p> <p>2. All computer hardware used to ensure backup shall be stored in a different location from that containing the working data in an environment that ensures they remain in good condition.</p> <p>3. When an organisation approved under this Annex terminates its operations, all retained maintenance records from the period of three years preceding the termination of operations of the organisation shall be distributed to the last owner or customer of respective aircraft or component or shall be stored in a way specified by the CAA.</p>					
145.A.60 Occurrence Reporting						
145.A.60(a)	The organisation shall report to the CAA, the state of registry and the organisation responsible for the design of the aircraft or component any condition of the aircraft or component identified by the organisation that has resulted or may result in an unsafe condition that hazards seriously the flight safety.	AMC 145.A.60 GM 145.A.60(a)				
145.A.60(b)	The organisation shall establish an internal occurrence reporting system as detailed in the exposition to enable the collection and evaluation of such reports, including the assessment and extraction of those occurrences to be reported under point (a). This procedure shall identify adverse trends, corrective actions taken or to be taken by the organisation to address deficiencies and include evaluation of all known relevant information relating to such occurrences	AMC 145.A.60(b)				

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	and a method to circulate the information as necessary.					
145.A.60(c)	The organisation shall make such reports in a form and manner established by the CAA and ensure that they contain all pertinent information about the condition and evaluation results known to the organisation.	GM 145.A.60(c)				
145.A.60(d)	Where the organisation is contracted by a commercial operator to carry out maintenance, the organisation shall also report to the operator any such condition affecting the operator's aircraft or component.					
145.A.60(e)	The organisation shall produce and submit such reports as soon as practicable but, in any case, within 72 hours of the organisation identifying the condition to which the report relates.					
145.A.61 Management system - additional occurrence reporting procedures						
145.A.61(a)	As part of its management system referred to in point 145.A.200, the internal occurrence reporting system must include voluntary reporting. A single system may be established to meet the requirements of Regulation (EU) No 376/2014 and Regulation (EU) 2018/1139.	AMC 145.A.61 GM 145.A.61				
145.A.61(b)	The organisation must report any event that affects an aircraft to the person or organisation that is responsible for the continuing airworthiness of that aircraft in accordance with point M.A.201 of Annex I (Part-M) or point ML.A.201 of Annex Vb (Part ML), as applicable. For events that affect aircraft components, the organisation must report to the person or organisation that requested the maintenance.					
145.A.61(c)	For organisations that do not have their principal place of business in the United					

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	<p>Kingdom, the initial mandatory reports must:</p> <ol style="list-style-type: none"> 1. appropriately safeguard the confidentiality of the identity of the reporter and of the persons mentioned in the report. 2. be made as soon as practicable, but in any case, within 72 hours after the organisation has become aware of the occurrence unless exceptional circumstances prevent this. 3. be made in a form and manner established by the CAA; and contain all pertinent information about the event known to the organisation. 					
145.A.61(d)	<p>Where relevant, organisations referred to in point (c) must make a follow-up report that provides details of the actions the organisation intends to take to prevent similar occurrences in the future as soon as those actions have been identified. Those follow-up reports must:</p> <ol style="list-style-type: none"> 1. be sent to the entities referred to in point (b) to which the initial report was sent; and be made in a form and manner established by the CAA 					
145.A.65 Maintenance procedures						
145.A.65(a)	The organisation must establish procedures which ensure that human factors and good maintenance practices are taken into account during maintenance, including subcontracted activities, and which comply with the	AMC1 145.A.65 GM1 145.A.65				

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	applicable requirements of this Annex, Annex I (Part-M) and Annex Vb (Part-ML). Such procedures must be agreed with the CAA.					
145.A.61 Management system - additional occurrence reporting procedures						
145.A.61(a)	As part of its management system referred to in point 145.A.200, the internal occurrence reporting system must include voluntary reporting. A single system may be established to meet the requirements of Regulation (EU) No 376/2014 and Regulation (EU) 2018/1139.	AMC 145.A.61 GM 145.A.61				
145.A.61(b)	The organisation must report any event that affects an aircraft to the person or organisation that is responsible for the continuing airworthiness of that aircraft in accordance with point M.A.201 of Annex I (Part-M) or point ML.A.201 of Annex Vb (Part ML), as applicable. For events that affect aircraft components, the organisation must report to the person or organisation that requested the maintenance.					
145.A.61(c)	<p>For organisations that do not have their principal place of business in the United Kingdom, the initial mandatory reports must:</p> <ol style="list-style-type: none"> 4. appropriately safeguard the confidentiality of the identity of the reporter and of the persons mentioned in the report. 5. be made as soon as practicable, but in any case, within 72 hours after the organisation has become aware of the occurrence unless exceptional circumstances prevent this. 6. be made in a form and manner established by the CAA; and 					

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	contain all pertinent information about the event known to the organisation.					
145.A.61(d)	<p>Where relevant, organisations referred to in point (c) must make a follow-up report that provides details of the actions the organisation intends to take to prevent similar occurrences in the future as soon as those actions have been identified. Those follow-up reports must:</p> <p>2. be sent to the entities referred to in point (b) to which the initial report was sent; and be made in a form and manner established by the CAA</p>					
145.A.70 Maintenance organisation exposition						
145.A.70(a)	<p>The organisation must establish and maintain a maintenance organisation exposition ("MOE") that includes, directly or by reference, all of the following:</p> <p>1. a statement signed by the accountable manager confirming that the maintenance organisation will at all times work in accordance with this Annex, Annex I (Part-M) and Annex Vb (Part-ML), as applicable, and with the approved MOE. If the accountable manager is not the chief executive officer of the organisation, then the chief executive officer must countersign the statement.</p> <p>2. the organisation's safety policy and the related safety objectives referred to in point 145.A.200(a)(2).</p> <p>3. the title and name of any person nominated under points 145.A.30(b)(1), (2) and (3).</p> <p>4. the duties and responsibilities of</p>	<p>AMC1 145.A.70 GM 145.A.70 AMC1145.A.70(a) AMC1 145.A.70(a)(1)</p>				

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	<p>any person nominated under points 145.A.30(b) (1), (2) and (3), including the matters on which they may deal directly with the CAA on behalf of the organisation.</p> <p>5. an organisation chart showing the accountability and associated lines of responsibility, established in accordance with point 145.A.200(a)(1), between all the persons referred to in points 145.A.30(a) and (b)(1), (2) and (3).</p> <p>6. a list of the certifying staff and, if applicable, support staff and airworthiness review staff with their scope of authorisation.</p> <p>7. a general description of the workforce resources and of the system that is in place to plan the availability of staff, as required by point 145.A.30(d).</p> <p>8. a general description of the facilities at each approved location.</p> <p>9. a specification of the scope of work of the organisation that is relevant to the terms of approval as required by point 145.A.20.</p> <p>10. the procedure that sets out the scope of changes not requiring prior approval and that describes how such changes will be managed and notified to the CAA, as required by point 145.A.85(c).</p> <p>11. the procedure for amending the MOE.</p> <p>12. the procedures specifying how the organisation ensures compliance with this Annex.</p> <p>13. a list of the commercial operators to which the organisation provides regular aircraft maintenance services, and the associated procedures.</p> <p>14. where applicable, a list of the</p>					

Part 145 Reference	Part 145 Requirements	Related GM/AMC Material	OK	NC	N/A	REFERENCE / COMMENTS
	<p>subcontracted organisations referred to in point 145.A.75(b).</p> <p>15. a list of the approved locations including, where applicable, line maintenance locations referred to in point 145.A.75(d).</p> <p>16. a list of the contracted organisations.</p> <p>17. a list of the currently approved alternative means of compliance used by the organisation.</p>					
145.A.70(b)	<p>The initial issue of the MOE must be approved by the CAA. It must be amended as necessary so that it remains an up-to-date description of the organisation.</p>	AMC1 145.A.70(b)				
145.A.70(c)	<p>Amendments to the MOE must be managed as set out in the procedures referred to in points (a)(10) and (a)(11). Any amendments that are not included in the scope of the procedure referred to in point (a)(10), as well as any amendments related to the changes listed in point 145.A.85(a), must be approved by the CAA.</p>					
145.A.85 Changes to the organisation						
145.A.85	<p>The organisation shall notify the CAA of any proposal to carry out any of the following changes before such changes take place to enable the CAA to determine continued compliance with this Part and to amend, if necessary, the approval certificate, except that in the case of proposed changes in personnel not known to the management beforehand, these changes must be notified at the earliest opportunity:</p> <p>1. the name of the organisation.</p>	<p>AMC1 145.A.85 AMC2 145.A.85 GM1 145.A.85 GM1 145.A.85(1) GM1 145.A.85(5)</p>				

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	2. the main location of the organisation. 3. additional locations of the organisation. 4. the accountable manager. 5. any of the persons nominated under point 145.A.30(b). 6. the facilities, equipment, tools, material, procedures, work scope, certifying staff and airworthiness review staff that could affect the approval.					
145.A.90 Continued validity						
145.A.90(a)	The organisation's certificate must remain valid, subject to compliance with all of the following conditions: <ol style="list-style-type: none"> the organisation remaining in compliance with Regulation (EU) 2018/1139, taking into account the provisions of point 145.8.350 of this Annex related to the handling of findings. the CAA being granted access to the organisation as specified in point 145.A.140. the certificate not being surrendered by the organisation or suspended or revoked by the CAA under point 145.8.355.					
145.A.90(b)	Upon surrender or revocation, the certificate must be returned to the CAA without delay.					
145.A.95 Findings and observations						
145.A.95(a)	After the receipt of a notification of findings in accordance with point 145.8.350, the organisation must: <ol style="list-style-type: none"> identify the root cause of, and any contributing factors to, the non-compliance. define a corrective action plan. demonstrate the implementation of 	AMC1 145.A.95 AMC2 145.A.95 GM1 145.A.95				

Part 145 Reference	Part 145 Requirements	Related GM/AMC Material	OK	NC	N/A	REFERENCE / COMMENTS
	corrective action to the satisfaction of the CAA.					
145.A.95(b)	The actions referred to in point (a) must be performed within the period agreed with the CAA in accordance with point 145.8.350.					
145.A.95(c)	The observations received in accordance with point 145.8.350(e) must be given due consideration by the organisation. The organisation must record the decisions taken in respect of those observations.					
145.A.120 Means of compliance						
145.A.120(a)	An organisation may use any alternative means of compliance to establish compliance with this Regulation.	GM1 145.A.120 GM2 145.A.120				
145.A.120(b)	If an organisation wishes to use an alternative means of compliance, it must, prior to using it, provide the CAA with a full description. The description must include any revisions to manuals or procedures that may be relevant, as well as an explanation indicating how compliance with this Regulation is achieved. The organisation may use those alternative means of compliance subject to prior approval from the CAA.	AMC1 145.A.120(b)				
145.A.140 Access						
145.A.140	For the purpose of determining compliance with the relevant requirements of Regulation (EU) 2018/1139, the organisation must ensure that access to any facility, aircraft, document, records, data, procedures or to any other material relevant to its activity subject to certification, whether it is subcontracted or not, is granted to any person authorised by the CAA.					
145.A.155 Immediate reaction to a safety problem						
145.A.155	The organisation must implement: (a) any safety measures mandated by					

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	the CAA in accordance with point 145.B.135. (b) any relevant mandatory safety information issued by the CAA.					

Audit Summary

Audit Date: _____
Auditor(s): _____
Auditee(s): _____
Audit Location/Department: _____

Auditor's Declaration

I confirm that this audit was conducted in accordance with the applicable standards and procedures, and the findings accurately reflect the state of compliance for the audited area.

Name of Auditor(s): _____
Signature(s): _____
Date: _____

Auditee's Declaration

I acknowledge the findings of this audit and commit to addressing any non-compliance as per the corrective action plan (if applicable).

Name of Auditee: _____
Position: _____
Signature: _____
Date: _____