Company-wide compliance

White paper

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1 Compliance as a cross-company topic

Compliance management is a cross-cutting issue affecting all company segments and is closely networked with other management systems from the areas of safety, quality, risk, environment, etc..

Commercial airports are exposed to a complex regulatory environment in which globalisation, European cohesion processes (in particular the "Single European Sky") and other influences create a dynamic compliance environment.

In addition to the extraordinarily comprehensive EU Regulation 139/2014, numerous other EU regulations and national laws and regulations such as the Aviation Security Act and the Aviation Security Ordinance must be observed.

eControl Compliance Management is part of a comprehensive software system that simplifies the development of an effective company-wide compliance management system for compliance with any rules and regulations and offers the user numerous best-practice solutions in the business environment of commercial airports.

The most important concepts and compliance processes are summarized below.

2 Set of rules

2.1 Digitization in eControl

eControl includes a wide variety of standard rules and regulations by default, which our consultants have broken down into parts and sub-parts in accordance with the structure of the rules and regulations. These rules and regulations can be used immediately without any further entry effort.

This digitized form of the rules and regulations is not intended to replace the rules and regulations already available to you as PDF files or in other clear and possibly also commented form, but rather to provide a systematic structure for your verification information and verification documents.

Some of these rules and regulations are given below as examples:

- **EU regulations**
  - e.g. Regulation (EU) 139/2014

- **ICAO regulations**
  - e.g. ICAO Annex 14 Vol I / II

- **IATA regulations**
  - e.g. ISAGO Standards

- **Laws, regulations and standards**
  - e.g. EU Data Protection Regulation

- **Approvals and planning approval decisions**

If required, the rules and regulations can be supplemented by the customer or set up independently. We offer the transfer of individual customer-specific regulations (e.g. airport manual) into the eControl Compliance Management as a service. Basically, all rules and regulations can be transferred into the eControl structure regardless of their complexity.

2.2 Update service

For the most important regulations such as

- **Regulation (EU) 139/2014**

- **ICAO Annex 14 Vol I / II**

an update service is available, which makes the systematic processing of new versions of the respective standard considerably easier - the parts and sub-parts that have been changed in the respective version and require re-validation can then be identified at the click of a mouse.

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3 Proof of compliance

3.1 Verification documents and information

Depending on the complexity of the rules and the sanctions to be expected for rule violations, an organization produces more or less complex verification documents in order to be able to reliably prove compliance with the rules and regulations within the framework of self-inspections and external audits.

For example, commercial airports keep several thousand documents to prove compliance with Regulation (EU) 139/2014

In addition to the verification documents, verification information exists that can be defined and structured according to customer requirements using eControl Compliance Management.

3.2 Version management

Rules often have a dynamic character, because either the regulations themselves change (e.g. Regulation (EU) 139/2014 Issue 2, Issue 3, Issue 4,.... Issue N), if the company changes in its organizational structure or processes (change management processes) or if inspection of rules within the scope of audits lead to changes.

eControl facilitates the version management of verification documents and automatically assigns the correct document version to the respective version of the set of rules.

4   Continuous monitoring of compliance

4.1   CIP - continuous improvement process

Continuous monitoring of compliance is an important component of the continuous improvement process to optimize compliance. Compliance violations are identified as part of this ongoing monitoring process. These are analysed and form the basis for corrective and preventive measures, thanks to the implementation of which the compliance level can be maintained and, if necessary, improved.

4.2   Auditing - self-inspection and auditing by third parties

With eControl Audit Management, audits are planned, structured, audit results including audit information are tracked and corrective and preventive measures resulting from audits are controlled.

Suitable audit catalogues are available for a wide variety of regulations (e.g. Regulation (EU) 139/2014, ICAO Annex 14), which enable a comprehensive or selected review of sub-parts of the regulations.

Audit catalogues - like the rules themselves - can be modified or created as required by the use

4.3   Routine checks

Routine inspections are a powerful tool for checking compliance with regulations in a sustainable and comprehensive manner.

For example, an airport will carry out audits to check whether the inspection of the flight operation area complies with the relevant regulations - e.g. Regulation (EU) 139/2014.

Whether the control of the flight operation areas has always been carried out in accordance with regulations, systematically and effectively in the past cannot be proven without operational or routine inspections. With eControl, test points or test steps can be defined and the result of the respective inspection can be tracked. A statistical analysis toolkit is of course available for the eControl routine inspections. Intelligent presettings and fast recording of the inspection results with eControl mobile during the execution of the respective inspection minimise the personnel expenditure for operational inspections.

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5 Wildlife Hazard Management

5.1 Biotope management

The BirdControl module is used to simplify the monitoring of biotopes on the basis of relative frequency indices. Point-stop inspections can be carried out along a monitoring measuring track and used to control the biotope management.

With the mobile tablet application eControl mobile, the recording effort can be reduced to a minimum by means of touch input on site during inspections.
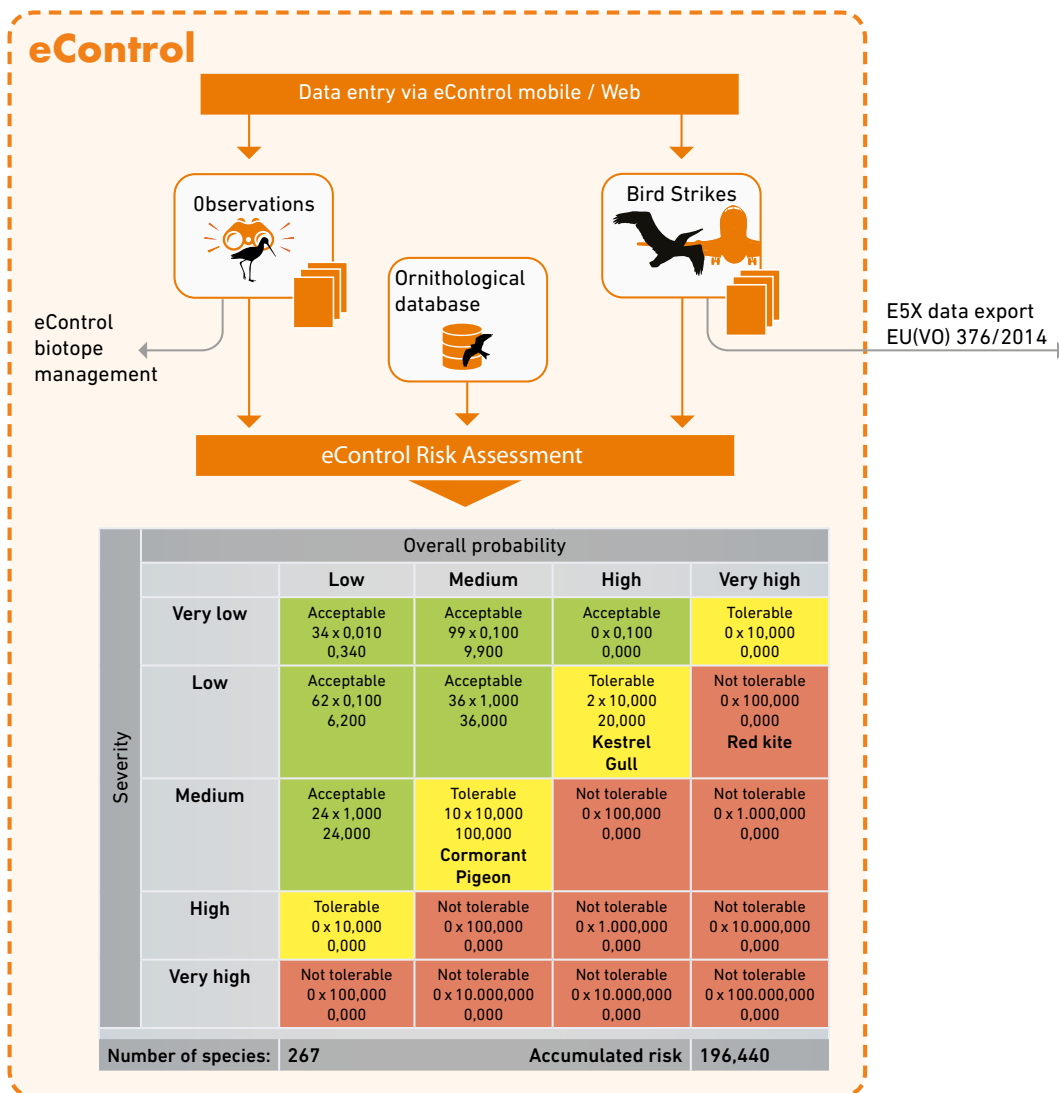
5.2 Wildlife risk assessment

Wildlife risk assessment is carried out with eControl using an enhanced procedure based on the approach of scientists Dr. John Allan and David C. Paton.

Animal observations and bird strikes are combined with an ornithological database of indicators to determine the risk per species. The resulting ranking of the species with the highest risk enables targeted countermeasures and thus an effective risk mitigation process. Cumulative risk analyses and risk classifications in accordance with a risk matrix simplify the implementation of an integrated concept to reduce the bird strike risk.

The Wildlife Risk Assessment can be carried out at any time at the click of a mouse, whereby various adjustable model parameters ensure the consideration of site-specific special factors.

		Overall probability			
		Low	**Medium**	**High**	**Very high**
	Very low	Acceptable 34 x 0,010 0,340	Acceptable 99 x 0,100 9,900	Acceptable 0 x 0,100 0,000	Tolerable 0 x 10,000 0,000
	Low	Acceptable 62 x 0,100 6,200	Acceptable 36 x 1,000 36,000	Tolerable 2 x 10,000 20,000 **Kestrel Gull**	Not tolerable 0 x 100,000 0,000 **Red kite**
Severity	**Medium**	Acceptable 24 x 1,000 24,000	Tolerable 10 x 10,000 100,000 **Cormorant Pigeon**	Not tolerable 0 x 100,000 0,000	Not tolerable 0 x 1.000,000 0,000
	High	Tolerable 0 x 10,000 0,000	Not tolerable 0 x 100,000 0,000	Not tolerable 0 x 1.000,000 0,000	Not tolerable 0 x 10.000,000 0,000
	Very high	Not tolerable 0 x 100,000 0,000	Not tolerable 0 x 10.000,000 0,000	Not tolerable 0 x 10.000,000 0,000	Not tolerable 0 x 100.000,000 0,000
Number of species:	**267**			**Accumulated risk**	**196,440**

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6 Measure management

If violations are detected during audits and routine inspections or in any other context, measures shall be taken to reduce and, if possible, avoid these deviations in the future.

Following the idea that compliance management is a cross-company topic, the measures are to be initiated and followed up cross-sectional. eControl facilitates the systematic processing of measures for compliance management with an automatic e-mail-based notification management for internal and external persons and organizational units.

7 Authorization management – Prerequisite for inter-divisional use

The operating concept of eControl has a inter-divisional and cross-sectional character. Bundling the functionality of various special applications, individual database applications and numerous MS Excel spreadsheets in eControl reduces overall costs, facilitates collaboration between different departments and creates uniform standards such as revision security, complete traceability of all database changes, transaction security, data consistency in a multi-user environment and last but not least the web-based application of the product on every PC workstation in the company without any local installation effort.

These advantages must not be bought by inadequate data protection and insufficient separation of data. eControl has a very powerful authorization concept that completely shields department-specific data from unauthorized access by other departments if required. Each user has access only to the data for which he is authorized.

On the other hand, departments such as compliance management can have access to the data of the business units as needed to monitor and improve compliance levels.

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eControl

| Process Management | Operation Management | Safety Management | Audit Management | Qualification Management | Compliance Management | Environmental Bird Control Management |

Customers:

Customers international: