Handbook

Violations

ARCONDA.systems

eControl

Index

1. Preface 4
2. Process optimisation rather than violation catalogue 5
3. Core functionality 7
4. Groups involved 8
5. Violation management with eControl 10
6. Personalised process management 12
7. Appeals in personalised violation management 14
8. Four-eye principle and violation committee 16
9. Account system for internal and external employees 17
10. Violation catalogue and violation type 18
11. Administration of violation catalogues 19
12. Administration of threshold values 20
    12.1 Consequence master data 22
    12.2 Administration of points reduction master data 23
13. Administration of violation master data 25
14. Violations workflow 27
    14.1 Simplification of violation management processing sequences with eControl 27
    14.2 Violation management process verification 30
    14.3 Violation cockpit 31
    14.4 Different options for the documentation of violations by the person with regulatory responsibility on-site 33
15. The violation form / eForm "Violation" 35
    15.1 Summary 35
    15.2 General violation data 36
    15.3 Violation classification 37
    15.4 Ressource allocation / process-oriented violation management 38
    15.5 Description of violation 39
    15.6 Personalised allocation 40
        15.6.1 General 40
        15.6.2 Personalised master data records search 41
        15.6.3 Manual capture of HR master data 42

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15.6.4 Maintenance of HR master data 43
15.6.5 Employee hierarchies 44
15.6.6 Appeals 48
15.6.7 Validation result 49
15.7 Account information in the violation dialogue 51
15.8 The legal framework - as complex as your organisation´s operational agreements 54
15.9 Violation list 55
15.10 Document management 56
15.11 Measures 58
15.12 History 59
15.13 Local information 60
15.14 Violation and safety management interface 62
15.15 Objekt-Explorer 64
16. Form letter generator 65
17. eControl notifier - e-mail alerts 67
18. eForm: Consequences 68
19. eForm "Points redurction" 70
20. Background services 72
21. Reporting 73
21.1 Report procedure validation violation management 73
21.2 Report violation catalogue 74
21.3 Violations account illustration 75
21.4 Violations list view 76
21.5 Violations details 77
21.6 Account overview 78
21.7 Reduction measure list view 79
21.8 Consequences list view 80
21.9 Consequences overview list 81
22. eControl mobile 82

1 Preface

The regulatory framework consisting of legal requirements and official conditions imposes strict demands on the worldwide-standardised processes of the aviation sector.

In addition, market players, in their battle for customers and market shares, are striving to continually improve quality and safety levels with intelligent processes.

This creates a complex legal framework for the operational process chains, which has to be understood, accepted and applied by all those concerned.

The non-implementation or unsatisfactory implementation of parts of this legal framework can lead to deviations in the form a lack of compliance, safety and quality deficiencies, etc. This deviation from the legal frameworks corresponds to a violation, for whose systematic processing and analysis this eControl module has been developed.

Superficially, the processing sequences used in Violation management are easy to describe. Looked at in detail, however, extensive operational agreements ensure the necessary reconciliation between individual, personal interests and the employer responsible for discipline.

Infrastructure features, suboptimal operating processes and a heavy workload are often conducive to violations against operational regulations.

Appeal periods, limitation periods and reduction measures lead to constant changes in the evaluation of violations. Accordingly, threshold excesses must be thoroughly identified, these being a key factor in the imposition of consequences.

With eControl, violations, reduction measures and consequences are administered in such a way that on the one hand a database is created for the optimal organisation of preventive measures, and on the other hand the documented evidence can, at the touch of a button, ensure that all violations have been evaluated and the consequences agreed at company level have been introduced if thresholds are exceeded.

eControl has been developed in collaboration with various airports, so that individual operational features are given proper consideration and the work of the violation representative is supported as much as possible.

We would be happy to assess your processes and show you how you can map your violation management in eControl.

Please get in touch.

Frank Espenhain
CEO

2 Process optimisation rather than violation catalogue

Process management rather than punishment

Punishment of violations is only applicable for deviations that are due to avoidable personal misconduct.

However, the effective avoidance of these deviations should not be aimed at individuals, but should rather focus on the process chains that have not been correctly structured or during whose implementation violations against regulations are observed.

Violation management is compliance management

Compliance management provides documented evidence that the organisation is complying with regulations. Compliance with regulations is subsequently verified at appropriate time intervals by means of process audits.

In addition to compliance and audit management, violation management is a further important component in ensuring regulatory compliance. As a permanent and operationally functional corrective, violation management makes a significant contribution to the ongoing maintenance of the compliance level, as deviations are systematically captured, analysed and, thanks to preventive measures, minimised.

Violation management and economic principle

Process-oriented violation management proves particularly valuable when conflicting objectives of operating processes – often productivity and safety, quality or other regulations are identified. Violation management can help to resolve these conflicts by optimising the use of process changes with regard to compliance management. In short, due to the violation management database, compliance objectives can be formulated in such a way that the need for process change is minimised as much as possible.

Penalties are a burden on the work climate

A punitive violation management can only work if employees with regulatory responsibility are directly under the control of the management and are free from operational constraints in their activities. An employee with regulatory responsibility cannot, as violation representative, impose penalties on colleagues with whom he is supposed to be working in other situations as a team in an atmosphere of trust.

There is generally a significantly greater acceptance of violations not subject to penalties – because they are personalised – because the focus is on the process rather than the conduct of the individual. Good violation awareness recognises a documented violation as an important element for the joint improvement of the quality and safety level for the purpose of a continuous improvement process (CIP).

Process deviation and business unit rather than identification number

The classification of violations is a necessary requirement for a systematic analysis of deviations in the form of frequency and trend displays. Instead of personal identification by means of an employee or identification number, which is obligatory in punitive violation management, business units, equipment and local information for the identification of hotspots and complex process structures are much more valuable for process-oriented violation management.

Cooperation with works and staff councils

Mutual cooperation with the operational co-determination bodies is often a key factor in the success of violation management. It is difficult – legitimately – to reconcile violation management that is oriented towards behaviour control with the beliefs of works and staff councils. However, violation management that addresses conflicting objectives and ensures that the employees doing the work are not burdened with inconsistencies arising from optimum performance and compliance with procedures, is guaranteed to have the support of all those involved.

3 Core functionality

- **Quick on-site capture of violations with eControl mobile – minimised data entry time and optimal documentation**
- **Fully automatic email notification for the documentation of violations**
- **System-based process support for limitations, appeal periods, etc.**
- **Fully automatic accounting of personalised violations**
- **Simplified evaluation processes through a system-based identification of thresholds reached**
- **System-based monitoring and entry of appeal periods, limitation periods, etc.**
- **Generation and email-based dispatch of personalised form letters**
- **Easy-to-use staff master data, which can be regularly and full automatically imported via a flexibly configurable interface**
- **Evidence of compliance with the administrative processes of violation management by means of inspection reports**
- **Various report generators for violation catalogues, violation accounts, driving ban lists, etc.**
- **Problem-free tracking of process connections due to comprehensive and flexible statistical instruments**
- **Integration of violation management into the eControl module for operational and company-wide risk management**
- **eControl provides a common data pool and processing basis for the violation representative and the safety manager**

4 Groups involved

Deviations and violations can essentially occur in all operational processes. Violation management processes are also comparatively complex, in order to protect the personal interests of individuals.

The different groups of people involved in violation management are listed below:

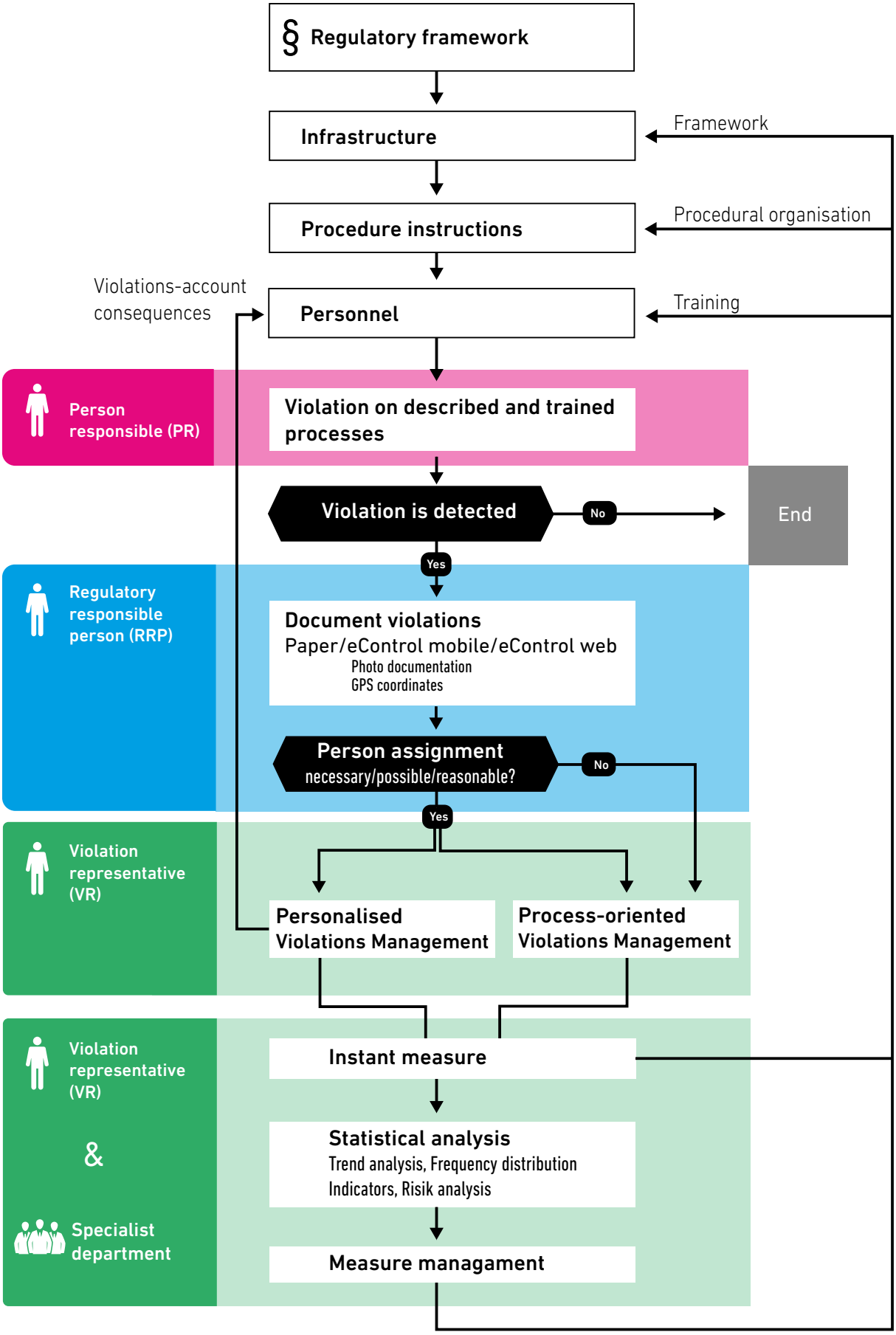
Group of people	Description/Field of activity
Person responsible (PR)	Internal or external employee who commits a violation (third parties such as air passengers are not included, if necessary, this process is documented with another event)
Line managers (LM)	The person responsible's line manager Help employees to avoid deviations, actively (with preventive measures) and passively as a role model
Witnesses	People who document or confirm a violation (third parties can also report a violation)
Persons with regulatory responsibility (PRR)	Persons with regulatory responsibility, for example airport transport managers, safety managers, health and safety representatives • identify violations • initiate the processing workflow • implement immediate measures • instruct the person responsible of the violation
Violation representative (VR)	Persons responsible across the organisation for violation management • validate the classification of the violations • evaluate violations according to the violation catalogue • process appeals • communicate with person responsible and line manager (see chapter 16 "Form letter generator") • assign event-specific access permissions to person responsible and line manager • implement site allocations for daily reports • where necessary, escalate the process by consulting decision-making bodies – e.g. driving licence committee decides on the withdrawal of the apron driving permit • document consequences and reduction measures in collaboration with the training department • audit the points accounts • verify compliance with violation management processes

Violation committee (VC)	• Assessment of appeals • Specification of disciplinary measures • Reconciliation of interests of all meeting participants involved
Specialised Department (SD) • Work safety • Safety • Operational organisation • Operative units	• Management of preventive measures • Root cause analysis • Initiation of investigations • Identification of the need to amend processing instructions and course content
Specialised administrators	• Administration of access permissions • Safeguarding of system operation including background services and training courses
Training department	• Implementation of reduction measures • Documentation of reduction measures in cooperation with the "VR"

5 Violation management with eControl

The circulation model for violation management is described below in summary form. It focuses on the software support of the management process with eControl. Optimum support of all management processes by eControl is possible if, and only if a continuous improvement process can be initiated.

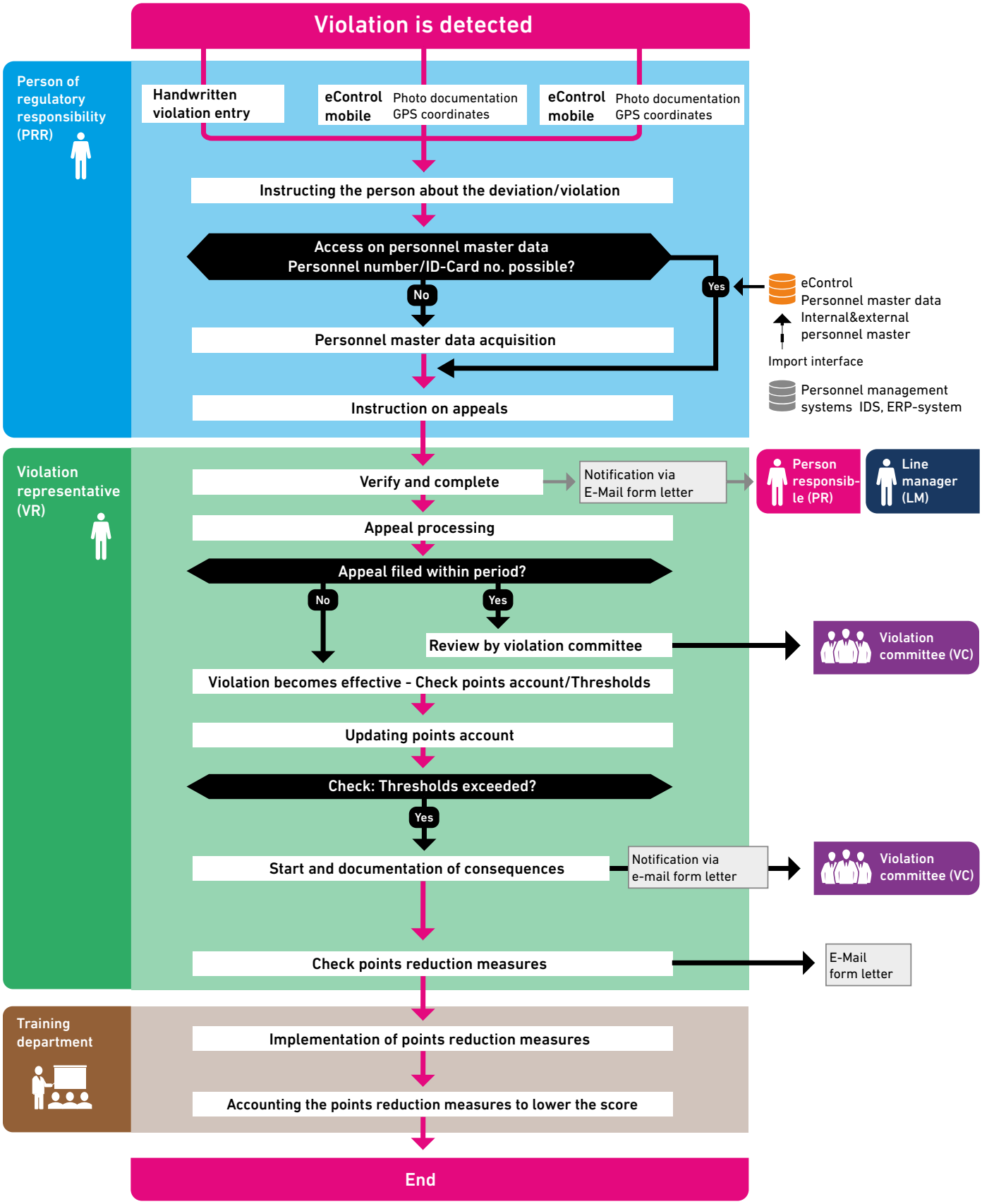
- **Starting point: regulatory framework conditions (laws and decrees)**
  - Violation management is an element of compliance management
  - Unidentified / undocumented violations cannot be used to improve the process level
- **The documentation of deviations is the bottleneck of violation management**
  - Initial paper form capture
  - eControl mobile
    - Image documentation
    - GPS-location coordinates
  - Traceable documentation with eControl
- **Deviations assigned to individuals give rise to both a personalised and process-oriented violation management**
- **Violations not allocated to individuals can be used for process-oriented deviation management**
- **Immediate measures taken by the persons with regulatory responsibility (PRR)**
  - Documentation and verification with eControl
  - Corrective measures
- **Statistical analysis with eControl**
  - Trend analyses
  - Frequency distributions (companies, equipment, operation areas)
  - Indicators
  - Operational risk management (IERC, risk mitigation process)
- **Measure management of violation representative and safety management**
  - Documentation and verification with eControl
  - Preventive measures


§ Regulatory framework
Infrastructure
Framework
Procedure instructions
Procedural organisation
Violations-account consequences
Personnel
Training
Person responsible (PR)
Violation on described and trained processes
Violation is detected
No
End
Yes
Regulatory responsible person (RRP)
Document violations
Paper/eControl mobile/eControl web
Photo documentation
GPS coordinates
Person assignment
necessary/possible/reasonable?
No
Yes
Violation representative (VR)
Personalised Violations Management
Process-oriented Violations Management
Violation representative (VR)
&
Specialist department
Instant measure
Statistical analysis
Trend analysis, Frequency distribution
Indicators, Risik analysis
Measure managament

6 Personalised process management

Personalised violation management comprises all violations for which a person responsible is identified. eControl provides a number of functions for the standardisation of processes for communication between the groups of people involved and for the system-based monitoring of deadlines.

- Requirement: The allocation of a person is necessary/possible/useful
- Violation capture
  - Violation form
  - eControl web (after previous use of violation form or other handwritten notice)
    - HR master data for reliable individual allocation
      or
  - eControl mobile
    - Useable online and offline
    - Simple and easy-to-understand documentation
    - Image documentation
    - GPS coordinates of the violation location
    - For reliable individual allocation
- Appeal instruction by the person with regulatory responsibility (PRR)
- Assessment and completion by the violation representative (VR)
  - Allocation of paper forms to the violation representative (VR)
  - Digital capture by the person with regulatory responsibility (PRR) and further processing by the violation representative (VR)
- Dispatch of personalised email form letters in eControl
  - Inform the person responsible (PR) of deadlines, points, etc.
  - Inform the line manager (LM) or the designated contact person of the violation situation
- Inspection of points accounts in the course of the violation evaluation by the violation representative (VR)
- Initiation of reduction measures and documentation of consequences if account-specific threshold values are exceeded
- Integration of violation committee in violation management process sequences
  - Assessment of appeals
  - Initiation of consequences

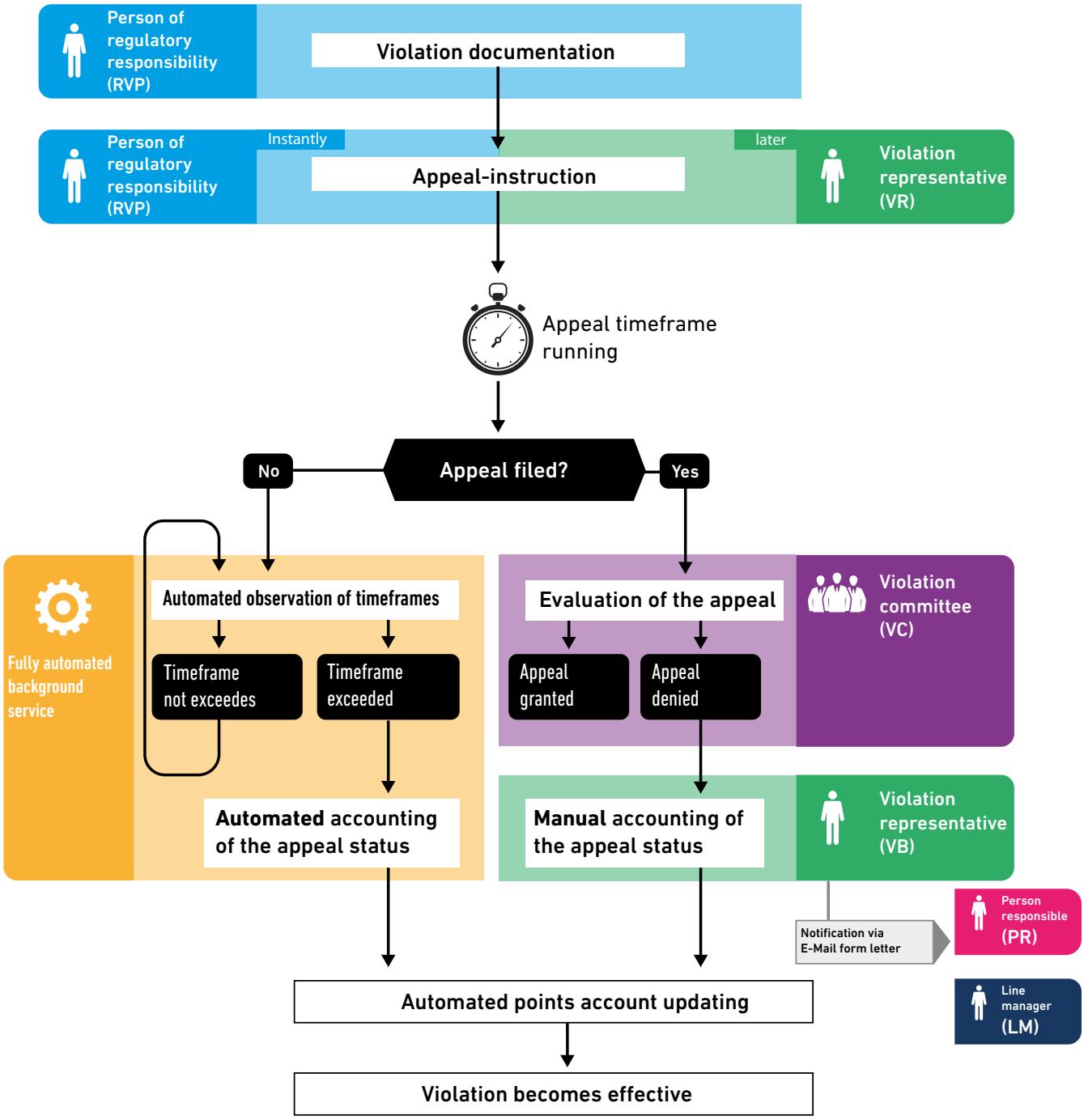

Violation is detected
Person of regulatory responsibility (PRR)
Handwritten violation entry
eControl mobile
Photo documentation
GPS coordinates
eControl mobile
Photo documentation
GPS coordinates
Instructing the person about the deviation/violation
Access on personnel master data
Personnel number/ID-Card no. possible?
Yes
No
eControl
Personnel master data
Internal&external
personnel master
Import interface
Personnel management
systems IDS, ERP-system
Personnel master data acquisition
Instruction on appeals
Violation representative (VR)
Verify and complete
Notification via
E-Mail form letter
Person responsib-le (PR)
Line manager (LM)
Appeal processing
Appeal filed within period?
No
Yes
Review by violation committee
Violation committee (VC)
Violation becomes effective - Check points account/Thresholds
Updating points account
Check: Thresholds exceeded?
Yes
Start and documentation of consequences
Notification via
e-mail form letter
Violation committee (VC)
Check points reduction measures
E-Mail
form letter
Training department
Implementation of points reduction measures
Accounting the points reduction measures to lower the score
End

7 Appeals in personalised violation management

Appeals are an important component of operational violation management. The use of appeals is freely configurable and can be easily adjusted to complex operational agreements. Appeal periods guarantee that the person responsible (PR) can dismiss wrongly assigned violations.

When the appeal options have been exhausted or rejected, violations become effective. Violations must be effective in order that personalised points accounts can be automatically adjusted and consequences imposed where necessary.

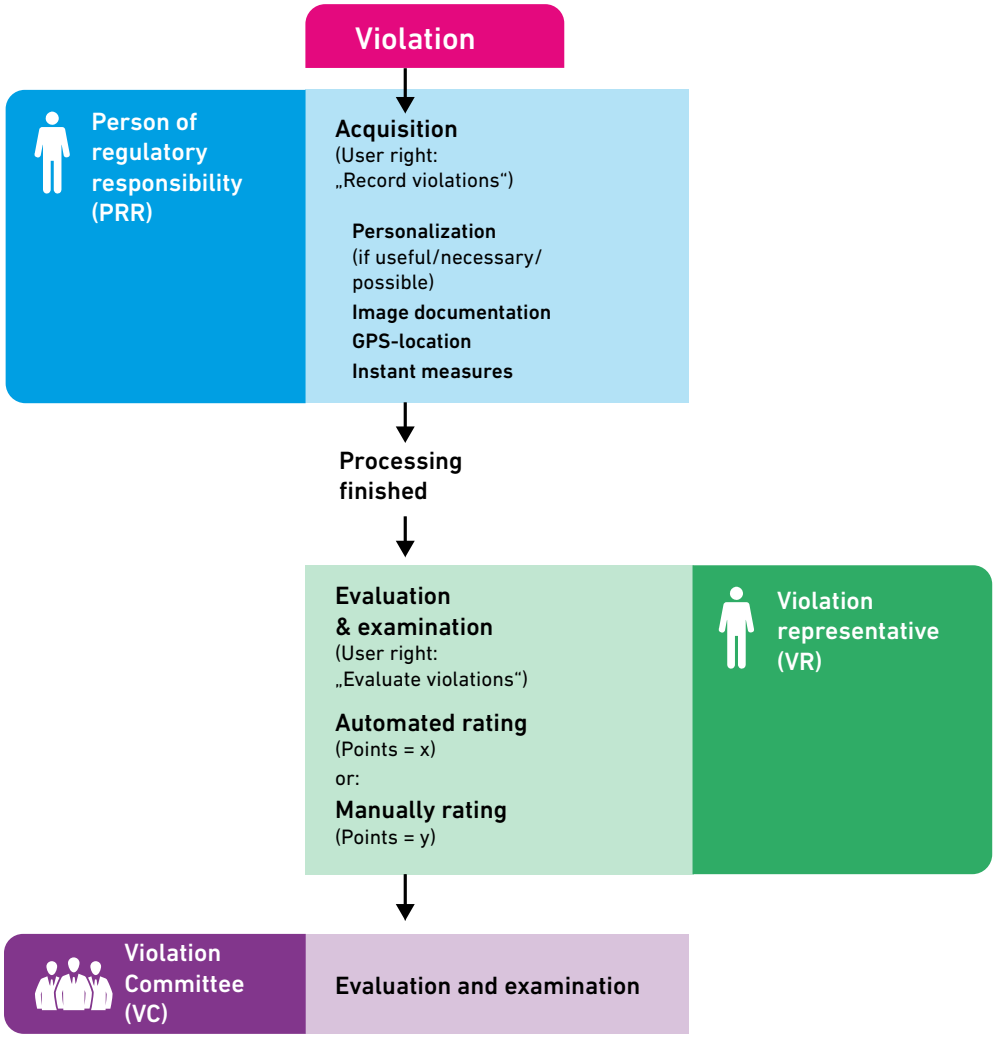
- Violation status
  - Pending violations
    - Appeal period has begun or
    - Violation committee has not yet decided on the appeal
    - No addition to points account
  - Ineffective violations
    - Appeal has been upheld
    - No addition to points account
  - Effective violations
    - Appeal period has run out or
    - Appeal has been rejected
    - Addition to points account
- Specialist background
  - Avoidance of incorrect allocations to individuals
  - Avoidance of wrongly assigned violations (misrepresentations)
  - Opportunity for the person responsible of the violation to comment
  - Compliance with operational agreements
- Configurable appeal period
- Monitoring of appeal timeframe
  - Fully automatic background process
  - Pending violations are registered as effective violations after expiry of the appeal period
- Display of appeal status in all relevant dialogues
- Transparent involvement of the violation committee
  - In the event of appeal, no addition to the points account without rejection of the appeal by the violation committee
  - Documentation of the decision of the violation committee in the violation process
  - Easy dispatch of the decision of the violation committee with a personalised email form letter to the person responsible (PR) and the responsible line manager (LM)


Person of regulatory responsibility (RVP)
Violation documentation
Person of regulatory responsibility (RVP)
Instantly
later
Appeal-instruction
Violation representative (VR)
Appeal timeframe running
Appeal filed?
No
Yes
Fully automated background service
Automated observation of timeframes
Timeframe not exceedes
Timeframe exceeded
Automated accounting of the appeal status
Evaluation of the appeal
Appeal granted
Appeal denied
Violation committee (VC)
Manual accounting of the appeal status
Violation representative (VB)
Notification via E-Mail form letter
Person responsible (PR)
Line manager (LM)
Automated points account updating
Violation becomes effective

8 Four-eye principle and violation committee

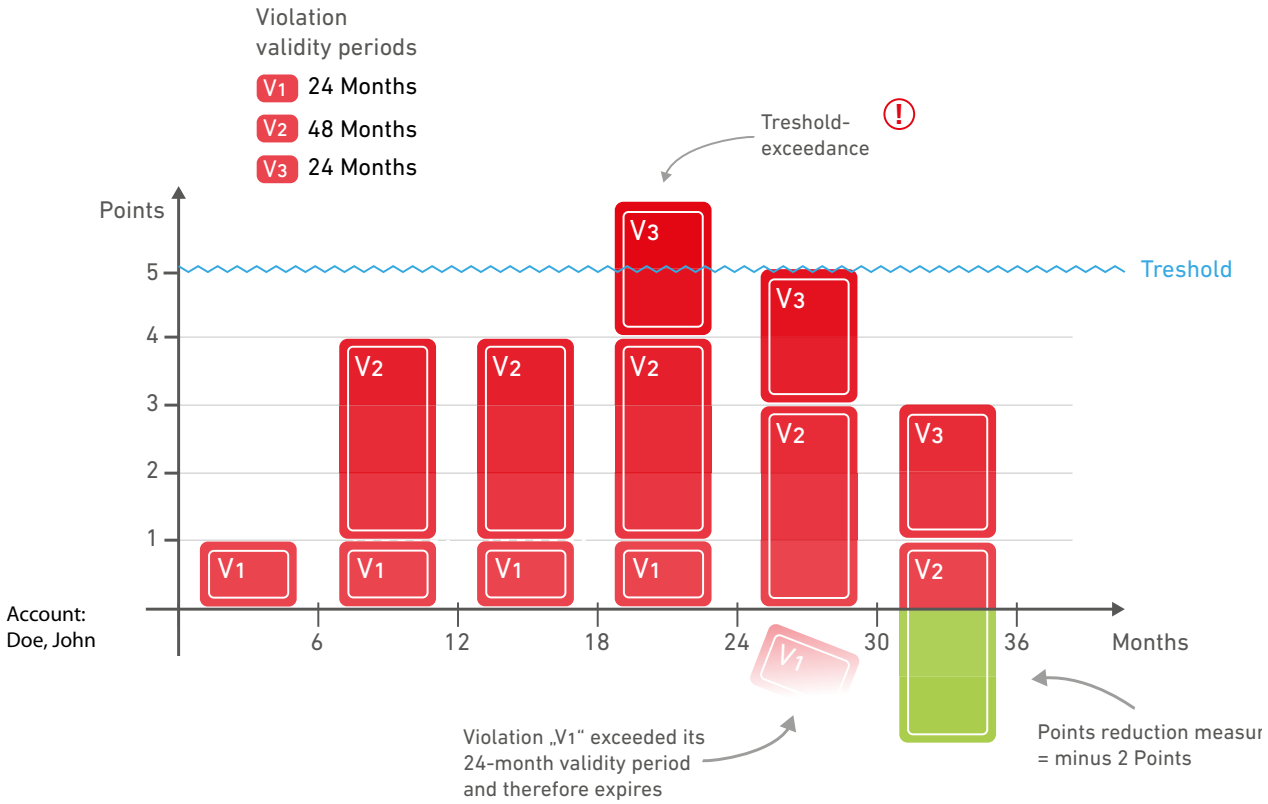
eControl guarantees that in addition to the person with regulatory responsibility, the violation representative is actively involved in the violation management process sequences. Wrongly assigned violations can therefore never be based on the misjudgement of individuals. Critical violations, where the person responsible has lodged an appeal and/or where the consequences are significant (e.g. loss of driving licence) are verified objectively by the "violation committee" (VC) body.

- No erroneous or unverified scores
- *Separation of power* – capture and evaluation by separate entities
- Complete documentation of processing progress in the audit trail (see section 15.12 "History")
- Data protection
  - PRR can view the violations that he himself has captured
  - VR can view all violations



9 Account system for internal and external employees

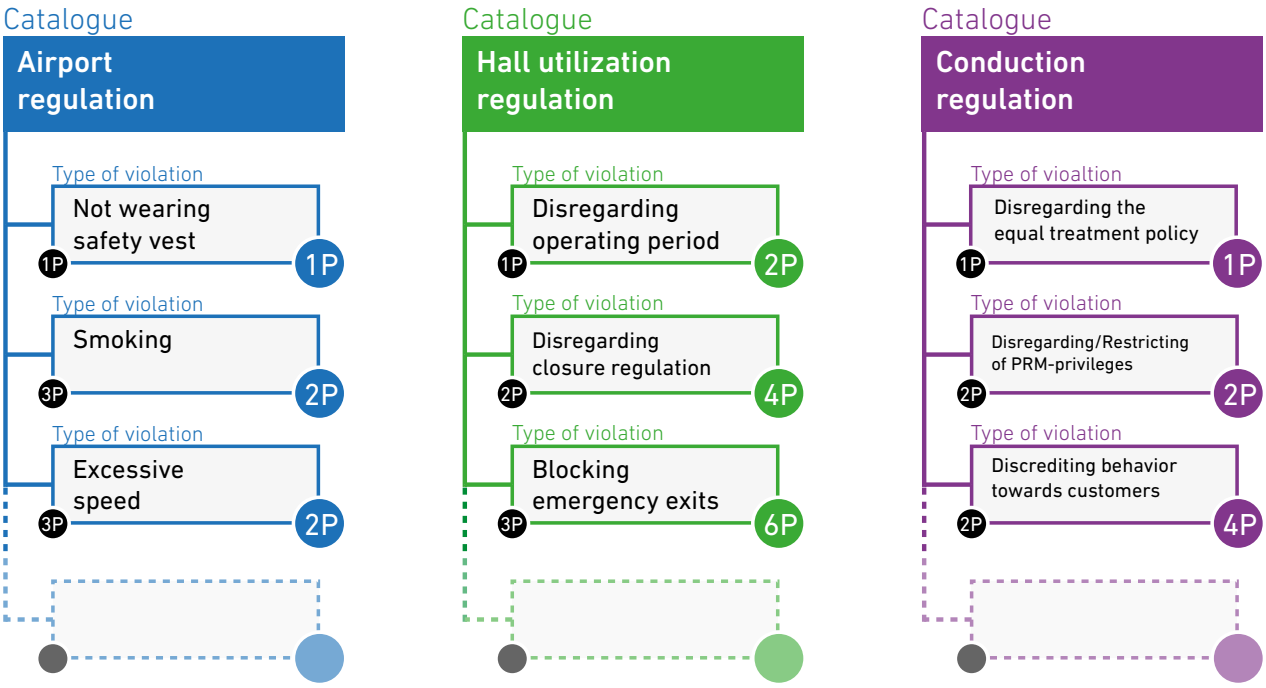
- Accounting of violations and reduction measures for each violation catalogue and person
  - Violation points and points reduction measures expire automatically if the validity period is exceeded.
  - Violation points can partially or wholly expire after a configurable timeframe, if the person has remained violation-free for configurable periods of time.
- Cross-catalogue points account available with separately parameterisable points
- HR master data of internal and external employees are retained
- Differentiated accounting for each person and violation catalogue
- Fully automatic accounting by eControl
- Clear account information in all violation management processing dialogues
- Individually adjustable validity periods for each violation (type)
- Automatic reduction in score after violation-free period
- Participation in reduction measures to improve personal score
- An account system for all persons
  - Internal employees
  - Employees of third-party companies
  - Others (agency staff, individuals, etc.)



10 Violation catalogue and violation type

With eControl, separate violation catalogues can be defined for different regulations. Accordingly, traffic violations can lead to the withdrawal of the driving licence, whereas failure to comply with the smoking ban is an element of another violation catalogue, which provides for renewed participation in a safety course if, for example a threshold value has been exceeded.

- Classification of personalised and process-specific violations
- Separate violation catalogues for different regulations
- Fully automatic account adjustment for each violation account and person
- Cross-catalogue statistical evaluation through global points classifications
- Simplified specialised differentiation of violations across separate catalogues (traffic regulation, hall use regulation, environmental regulations)
- Differentiated violations enable a targeted statistical evaluation in accordance with safety perspectives, whereby specific preventive measures can be taken
- The use of different violation catalogues enables threshold values to be defined for each catalogue, which can only be triggered by violations against this catalogue. Accordingly, consequences can reflect the different violations, thus enabling targeted prevention and encouraging the improvement of violation behaviour in future

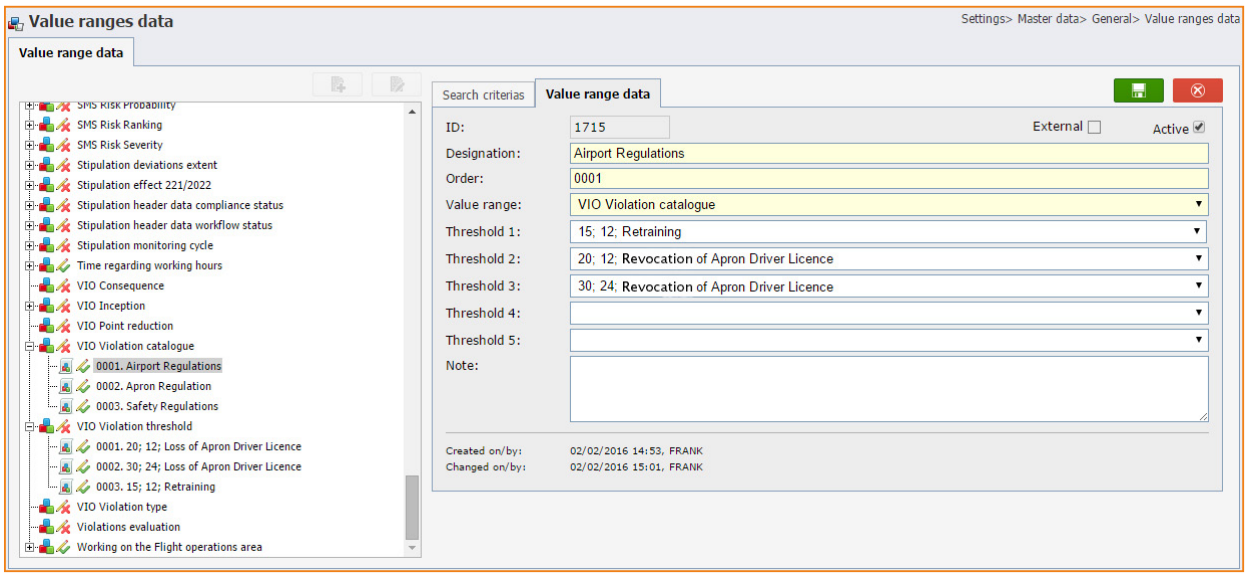


= Catalogue specific Points

= Global Points

11 Administration of violation catalogues

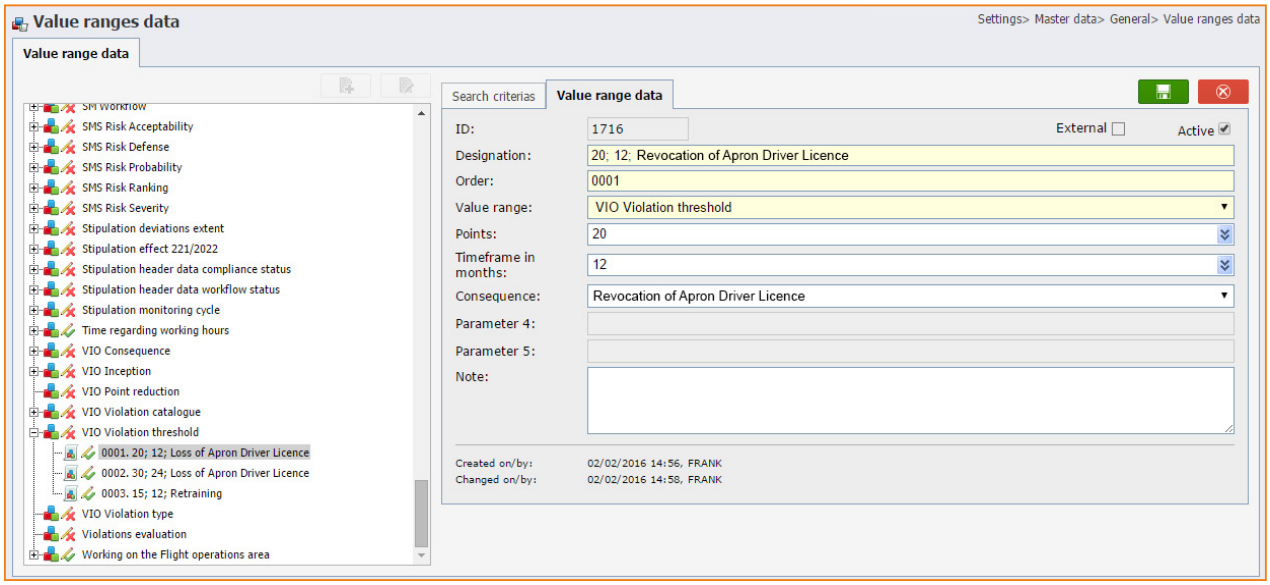
Violation catalogues are administered via the standardised value range maintenance dialogue.



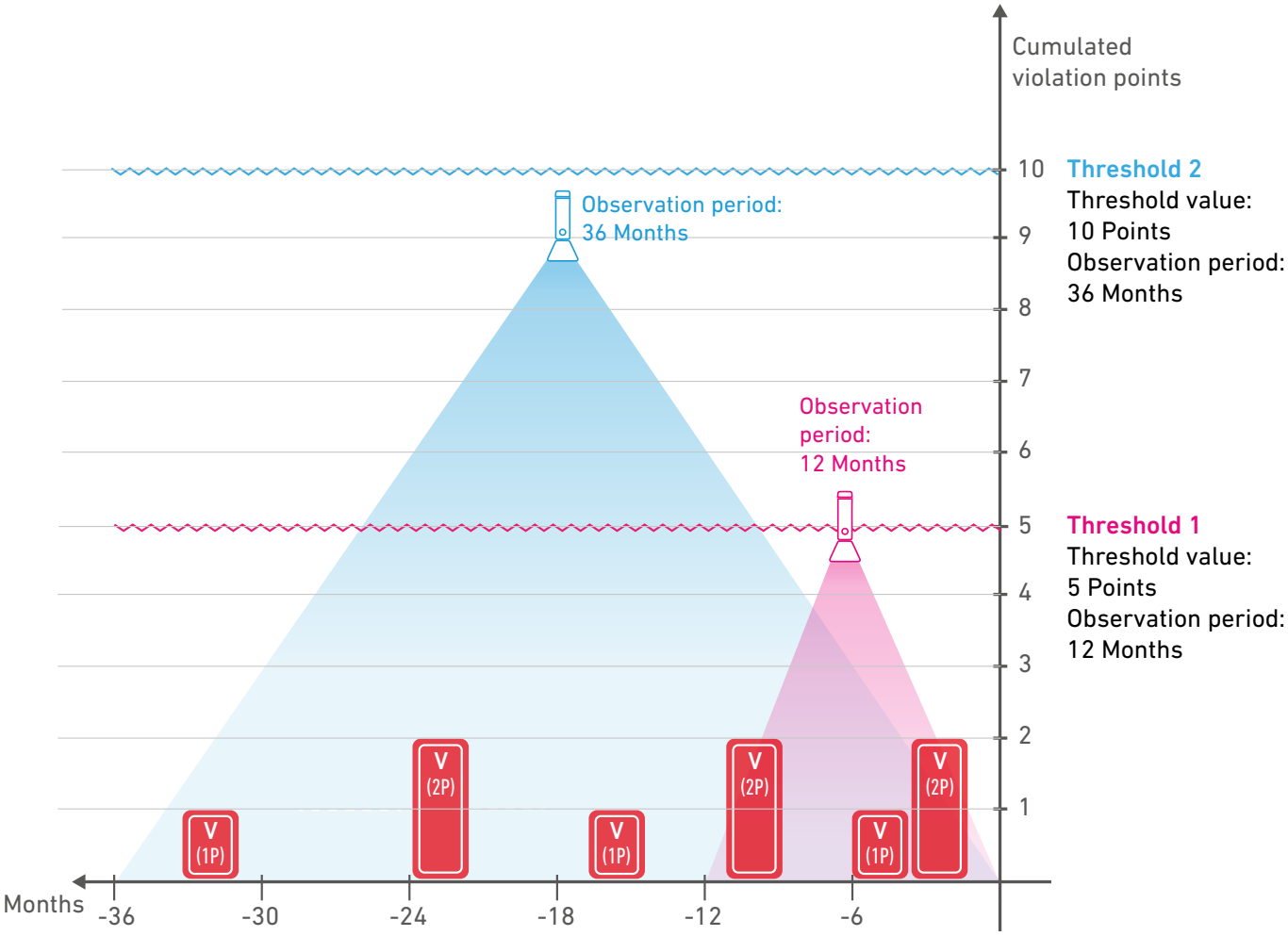
- For each violation catalogue, a maximum of five thresholds can be assigned
- A separate dialogue is available for the definition of thresholds (see chapter 12 “Administration of threshold values”)
- The number of points that has been defined with the relevant threshold value is also stipulated in the “Value range data” dialogue
- Violation catalogues including any associated violation types can be viewed in the “Violation catalogue view” report.(see section 21.2 “Report violation catalogue”)

12 Administration of threshold values

Threshold values are administered via the standardised value range dialogue.



- Threshold values refer to points balances for each person and violation account. The points balances are determined fully automatically and continuously by the system, taking into account appeal and validity periods. Points reduction measures can reduce these points balances to the extent specified.
- When a new violation is documented with the eForm “Violation” (see page 29) , eControl automatically assesses whether threshold values are reached by this violation, and proposes the above-mentioned consequence to the violation representative.
- Threshold values can be combined with a calculation period. Any violations and reduction measures that exist prior to the beginning of the calculation period are not included in the assessment of the threshold-related points balance.
- If no calculation period is specified, all violations and reduction measures that have not lapsed are used to determine the threshold-related points balance.
- Threshold values with different calculation periods make it easy to detect any deterioration in violation behaviour.



Threshold 1 applies, because five or more points have been credited to the points account within 12 months.

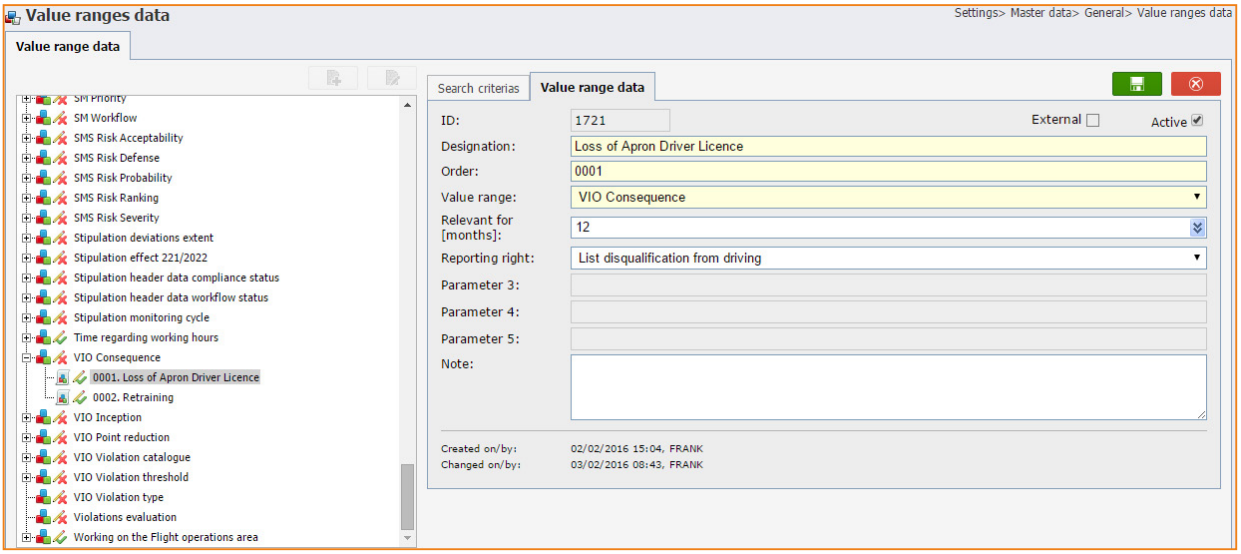
Threshold 2 does not apply, because fewer than 10 points have been credited to the points account in the last 36 months.

The table above shows which violations were relevant in the assessment period in terms of basing the calculation on threshold 1, because they occurred no more than 12 months previously. The threshold values are checked whenever additional violations are documented with the eForm "Violation". Because no new violations have been documented in months 24 to 30, no check is necessary. eControl assesses the accumulated points balances individually for each of the maximum five threshold definitions for each violation catalogue.

12.1 Consequence master data

Consequence master data are administered via the value range data dialogue. Consequence master data are captured and maintained for the standardised entry of consequences that are triggered when points thresholds are reached.

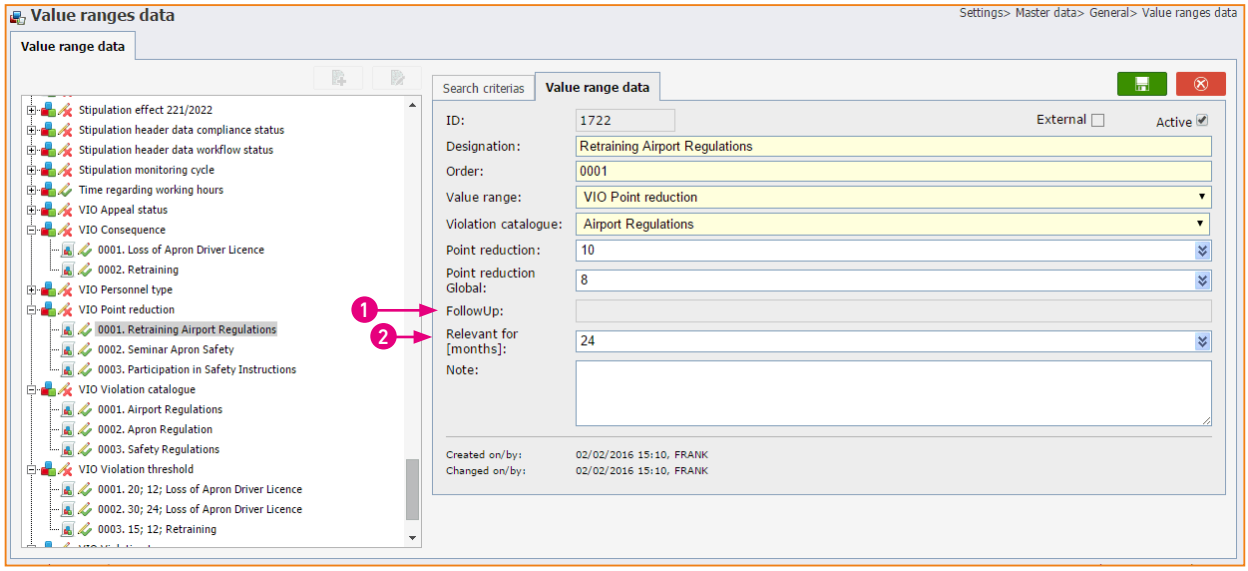
Examples of consequences are the obligatory participation in a refresher course or the loss of driver and access permissions.



- The entry of a consequence with the eForm “Consequences” requires the clear assignment of a “consequence type” from the consequence master data.
- Consequence master data guarantee a standardised application of consequences irrespective of the persons involved.
- Consequence master data are proposed fully automatically by eControl by the system, as soon as a threshold value is reached when a violation is entered.
- Consequence master data are not linked to violation catalogues. In this way the same consequence “Loss of Apron Driver Licence” can be triggered both by traffic violations against the airport use regulation and by violations against the wearing of personal protective equipment from the violation catalogue relating to occupational health and safety.
- The consequence master data make it possible to record a validity period. When a consequence is entered with the eForm “Consequences”, a validity period can be proposed, during which the time-based consequences such as driving or access bans can be organised.
- For each consequence arising from the consequence master data an individual user right can be stipulated. If a user has this user right, he can generate current lists of people, for whom the consequences of the given type are imposed. If, for example, an individual user right is defined in the dialogue “Rights” and allocated to the consequence “Revocation of Apron Driver Licence”, all users, to whom this individual user right has been assigned, can generate “Revocation of Apron Driver Licence”-lists, without it being necessary for this user to have access to the processes themselves.

12.2 Administration of points reduction master data

eControl provides for the reduction of points balances through participation in reduction measures. So that these reduction measures are taken not arbitrarily but irrespective of the persons involved and in a standardised manner, the points reductions and validity periods are specified in the points reduction master data.



1 FollowUP
System-based recommendation that is displayed in the event or in the eForm to the employee entering the data.

2 Relevant for (months)
Relevance in months for the catalogue-specific and global points reduction. If points have to be permanently removed, the field must be left blank.

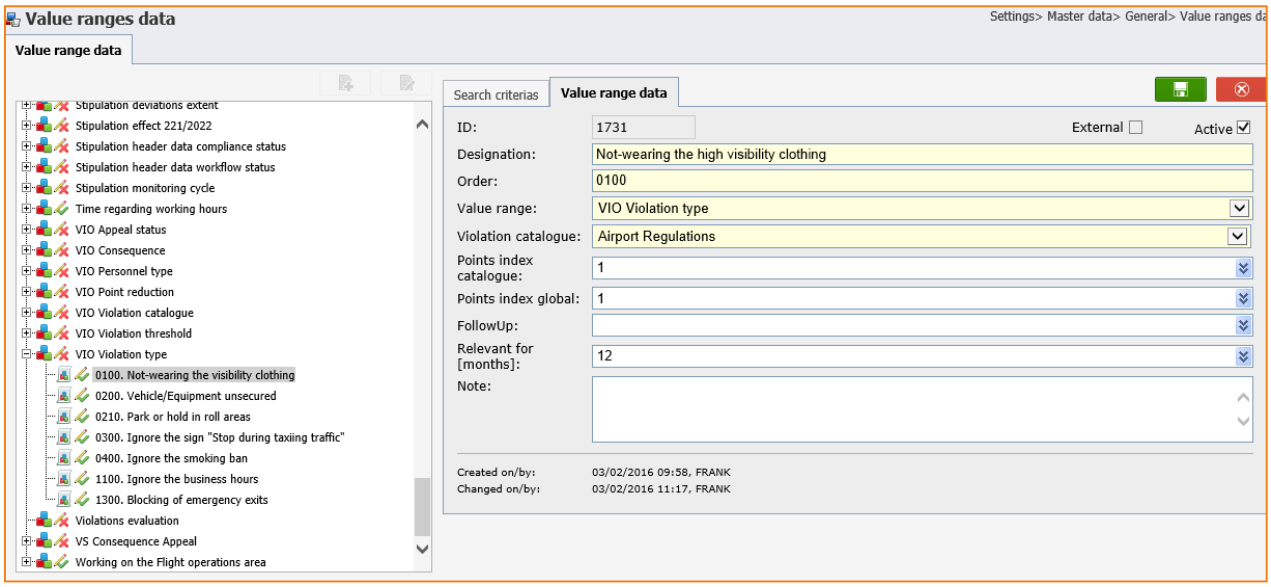
- The entry of a points reduction measure with the eForm "Points reduction" is subject to the clear assignment of a points reduction option from these points reduction master data.
- Points reduction options guarantee a fair use of points reduction options irrespective of the persons involved, as reduction measures result in the same reduction in the points account irrespective of the person involved.
- The data field "Point reduction" specifies the number of violation points by which the points account is reduced when a reduction measure is entered with the eForm "Points reduction".
- The data field "Relevant for [months]" enables a validity period to be specified for the given points reduction option. If the data field "Relevant for [months]" is not specified, a points reduction remains valid for an indefinite period of time.
- The use of validity periods for reduction measures must be considered as soon as temporary validity periods for violations are applied. Temporary validity periods for violations give rise to an automatic reduction of the points accounts through the "limitation" of these violations. If reduction measures give rise to a temporary reduction of the points account, this leads to distortions, as several consecutive violations might be offset. From an organisational perspective, the one-off offsetting effect should be guaranteed by the fact that the selected validity period of the reduction measure is not shorter than the validity period of the violations. If this rule of thumb is disregarded, the effect of reduction

measures might prematurely expire and capitulate the points account of the person concerned to or over a threshold, and consequently the person concerned – without committing a new violation – is faced with a consequence.

- If a short validity period is selected for a reduction measure, participation in several reduction measures can be enforced. If a serious violation is charged to the account for a period of five years, and the person responsible (PR) with a 12-month reduction measure is below the given threshold, another reduction measure must be implemented one year later, because the reductive effect of the previous reduction measure has become invalid.
- If short validity periods are used, it should be guaranteed by means of the eControl notifier that the violation representative is informed if, and only if the validity period of a violation expires.

13 Administration of violation master data

Each violation must be specifically allocated to a violation type. In the dialogue below about the administration of violation master data, points, global points, validity periods and explanatory texts are specified, which the system assigns to each violation, as soon as this violation type has been allocated.



- Each entry of a violation with the eForm “Violation” requires the clear assignment of a violation type.
- For all violations that are differentiated according to operational agreements, separate master data records are created in the violation types. Differentiation into different violation types is also recommended in order to enable statistical evaluation.
- Through the allocation of points to violation types an evaluation of violations irrespective of the persons concerned is implemented and the principle of equal treatment is complied with. If important reasons necessitate deviation from these standards, the violation representative (VR) can use deviating values when entering a violation.
- The associated violation catalogue can be selected from the drop-down field “Violation catalogue” – for each violation catalogue as many violation types as desired can be defined.
- The “Points index catalogue” stores a score, which the system proposes, as soon as the violation of the relevant violation type is entered. The violation representative can – for example on the instructions of the violation committee – deviate from this proposed value.
- The “Points index global” is also assigned by the system to the relevant violation type when a violation is entered. As mentioned already in the sub-item, global points classifications provide for the cross-category evaluation of violations.
- When structuring violation management, the setting “Points index catalogue” and “Points index global” can be altered, but violations documented in the past remain unchanged. The new points allocations only impact on future violations. If the description of a violation changes, it is necessary to assess whether its content needs to be adjusted. If this is the case, a new, additional violation type should be created and the old violation type (whose content has been rejected) should be shut down.
- The data field “Relevant for [months]” enables a period to be specified. Once this period has been exceeded, the points are no longer added to the violation account. If the validity

period is long, serious violations may be weighted more heavily, as they remain on the points account for longer.

- The data field “FollowUp” enables the recording of a standardised recommendation, which is displayed in the eForm “Violation” when a violation of this violation type is captured, e.g. a personal conversation between the violation representative and the person responsible, the handing out of safety manuals, etc.
- The violation type master data are key, both for personalised and process-oriented violations.

14 Violations workflow

14.1 Simplification of violation management processing sequences with eControl

- 1. Decentralised capture of violations by the person with regulatory responsibility (PRR)
  - Three different capture variants:
    - Paper form
    - eControl mobile
    - eControl Web
  - Documentation of violation by a person with regulatory responsibility (PRR)
  - Authorisation of the person with regulatory responsibility with the user right "Record violations"
  - The data fields that are provided for the processing of violations by the violation representative cannot be edited by the "person with regulatory responsibility"
  - The "person with regulatory responsibility" can view in full the violations that he himself has captured or documented and continue to follow the processing sequence. However, the violations that other RVPs have captured cannot normally be viewed by the RVPs.

- 2. Centralised processing of violations by the violation representative (VR)
  - Central processing and documentation via the eForm "Violation"
  - Push notifications: the processor is informed on request of each new violation by eControl notifier
  - Violations can be exclusively processed by the specifically authorised violation representative (VR)
  - The violation representative is responsible for communication with the person responsible (PR), his line manager (LM), the violation committee and any participating organisational units involved. Personalised form letters make communication easier and can be fully automatically archived.
  - The violation representative is responsible for the processing of appeals and the required involvement of the violation committee
  - For each effective violation, eControl assesses whether specified threshold values have been reached and consequences should be taken. The system puts forward proposals and it is the responsibility of the violation representative (VR) to implement them according to the relevant operational agreement
  - The user right "Evaluate violations" authorises the violation representative to process and evaluate

- 3. Targeted notification by the person responsible (PR) and the designated line manager (LM)
  - different notification options:
    - E-Mail
    - eControl Web (explicit granting of read access to the violation concerned by the violation representative (VR) necessary)
    - Letter
  - Event-specific access permissions for all involved users can be created via the register tab "Rights"
  - If required, a violation can be targeted in such a way that it is incorporated into the daily report of the operational area of the person responsible

Functional areas of the eForm “Violation”, using the example of a personalised violation:

Incidents

Incidents

Incident | Map | List of violations | Documents | iERC | Measures | Rights | METAR | ObjectExplorer

PRR

ID:New Violation

Title: Airport Regulations Ignore the smoking ban

Location: Arconda Airport

Report: Ground

Start Date / time: 25/02/2016 / 15:52

End Date / time: /

Responsible: Espenhain, Frank

Show extended parameters...

Priority: undefined

Status: In Progress

Release:

Seen:

FNo In / FNo Out: /

Location:

Aircraft / Reg: /

❶

Violation type

Violation catalogue: Airport Regulations

Type of violation: Ignore the smoking ban

Note:

FollowUp:

Points index violation catalogue: 4

Points index global: 4

❷

Involved resource

Resource class:

Resource:

Expand

Resource note:

Violation description

Witness:

Description:

❸

Person responsible

Employee affiliation: External company

Company: Arconda Airport

Search | New | Remove

Personnel ID: 17

Name: Drive

First name: Daniel

Personnel number: AA-121

ID number

Affiliation: External, no eControl User

Expand

Gender: male

Language/Country: English | Great Britain

❹

Appeal information

Appeal status: Instruction of rights of appeal has not yet happened

Instruction of rights of appeal on:

End of appeal period:

❺

PR

❻

Processing information

Workflow:

Evaluation:

Points: 4

Points global: 4

Expires on:

Account information

Violation catalogue	Account			Points index global	
	Count	Points		Count	Points
Airport Regulations					
Violations	1	2		1	1
Point reductions or violation free time frame	1	0		1	
Consequences	0			0	
Catalogue balance		**2**			
Analysis of consequences Airport Regulations					
Retraining, if 15 points in 12 months months		Currently: 2			
Loss of Apron Driver Licence, if 20 points in 12 months months		Currently: 2			
Loss of Apron Driver Licence, if 30 points in 24 months months		Currently: 2			
Apron Regulation					
Violations	2	16		2	16
Point reductions or violation free time frame	0	0		0	
Consequences	0			0	
Catalogue balance		**16**			
Analysis of consequences Apron Regulation					
Retraining, if 15 points in 12 months months		**Currently: 16**	**Threshold reached**		
Loss of Apron Driver Licence, if 20 points in 12 months months		Currently: 16			
Global					
Violations				3	17
Point reduction				1	
Consequences				0	

❼

❶ **Framework conditions**

❷ **Violation type**

❸ **Involved resource**

❹ **Personal data**

❺ **Appeal information**

❻ **Processing information**

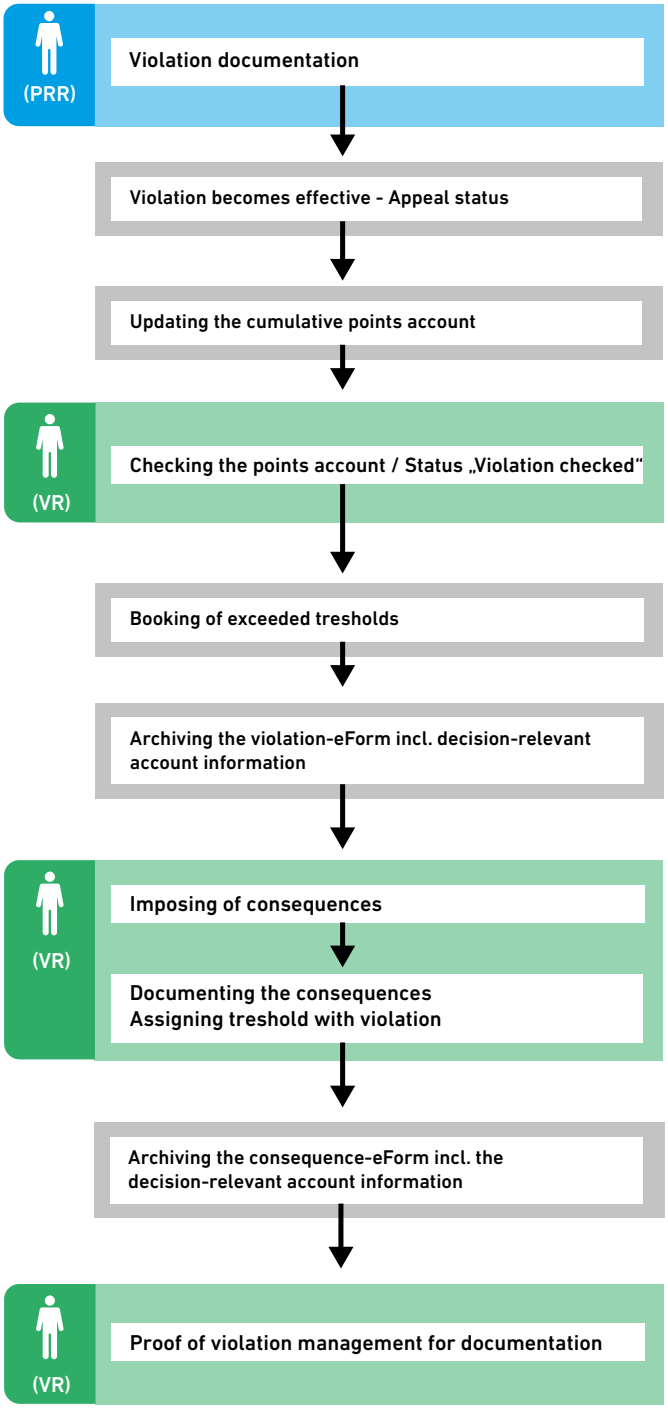
❼ **Information: actual violation catalogue**

14.2 Violation management process verification

Evidence verifying that the impacts of effective violations have given rise to the consequences agreed at company level

- Evidence verifying that all violations have been evaluated by the violation representative
- Evidence verifying that the agreed consequences have been initiated if threshold values are exceeded

Processing sequence and control options



Report
Violation management
Process verification

14.3 Violation cockpit

The violation cockpit is a special view of the past archive for the violation representative.

In the standard view of the violation cockpit all violations are mentioned that need to be actively processed by the violation representative. These are the violations that are not yet effective or for which an appeal has been lodged.

The indicator "Appeal status" displays the following status:

Symbol	Appeal status	Verified?	Consequence
	Appeal instruction still pending		
	Appeal instruction has taken place & Appeal timeframe communicated		
	Appeal in evaluation		
	Appeal approved	No	
	Appeal timeframe exceeded	No	
	Appeal timeframe exceeded	Yes	Threshold status not edited yet
	Appeal denied	No	
	Appeal denied	Yes	Threshold status not edited yet

Violations that have the following assessment status are not displayed in the standard view, because they do not require further processing:

Symbol	Appeal status	Verified?	Consequence
	Appeal approved	Yes	
	Appeal timeframe exceeded	Yes	Threshold not triggered
	Appeal timeframe exceeded	Yes	Threshold triggered with consequence
	Appeal denied	Yes	Threshold not triggered
	Appeal denied	Yes	Threshold triggered with consequence

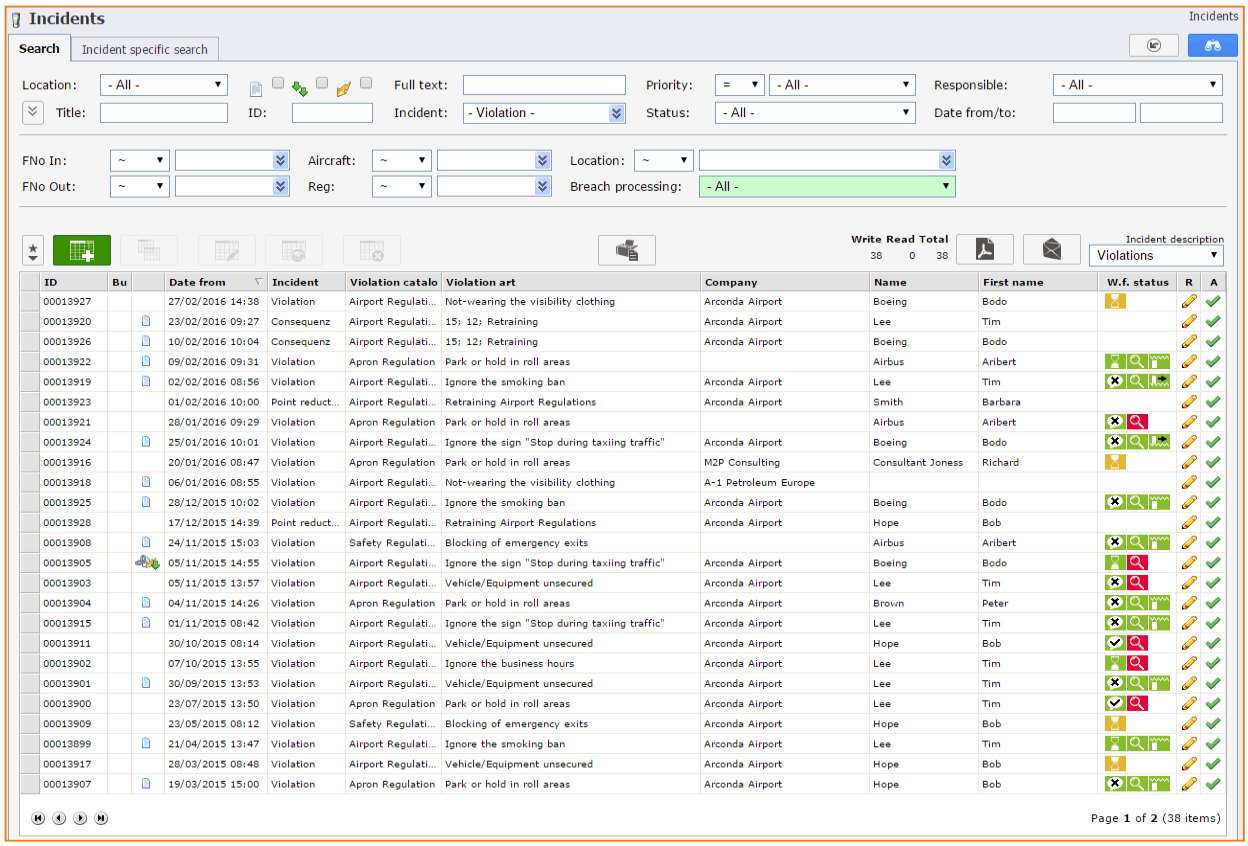
The following pictograms show what further information about the individual violations is available

Documents

Measures

Initital Event Risk Classification

Object links



14.4 Different options for the documentation of violations by the person with regulatory responsibility on-site

Traditional:

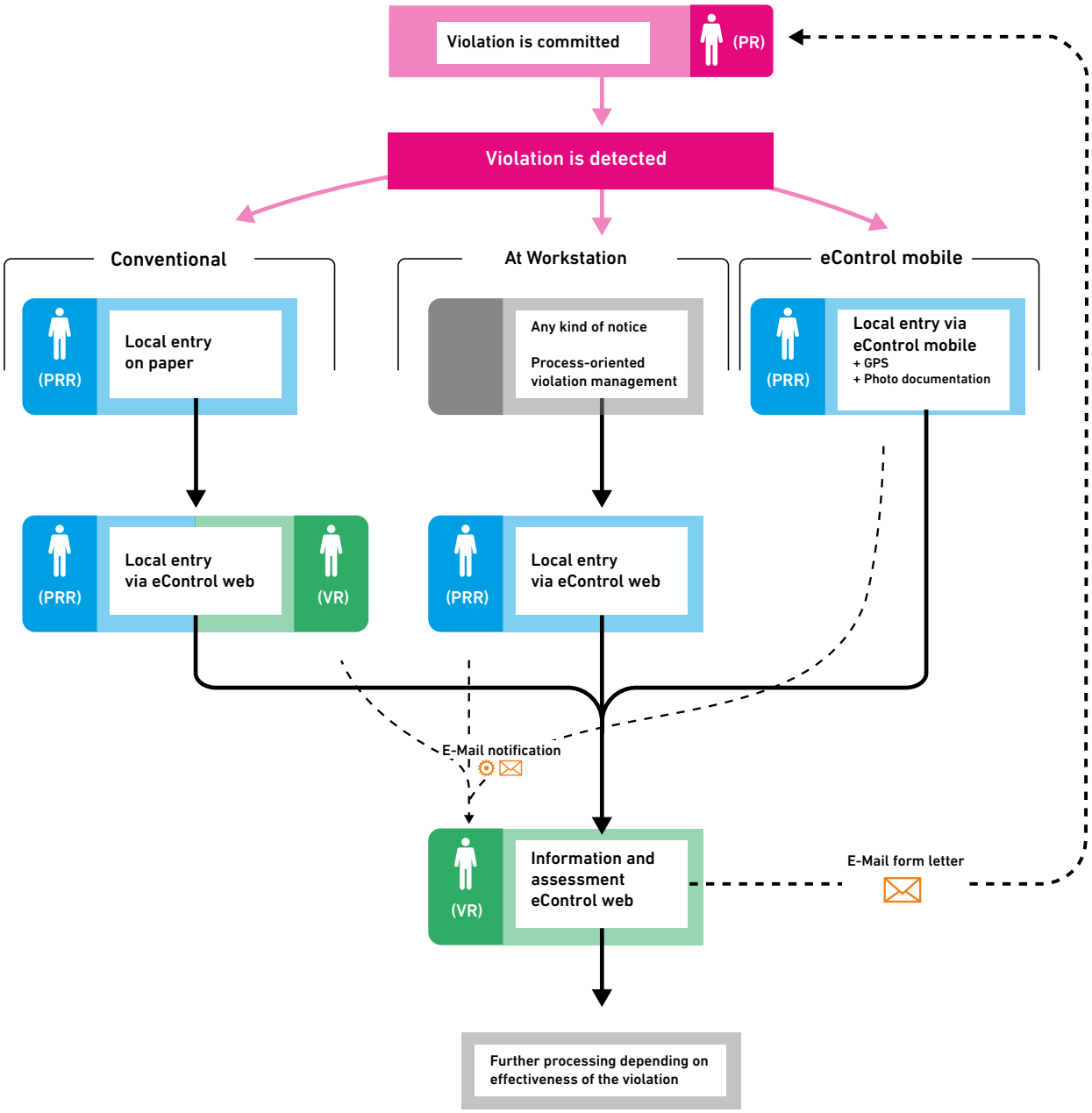
- Decentralised capture via paper form
  - Disadvantages:
    - Duplication
    - Necessary archiving or scanning of the main paper documents
    - Expensive image documentation
    - Expensive and imprecise documentation of location coordinates
    - Time delays between documentation and notification by the violation representative (VR)
  - Advantages:
    - Possible without mobile capture devices

At work station:

- Decentralised capture with the eForm "Violation"
  - Disadvantages:
    - Possible duplication because of the transfer of handwritten notices and the like into the eForm
    - Expensive image documentation, data transfer and manual upload necessary
    - Expensive and imprecise documentation of location coordinates
    - Time delays between documentation and notification by the violation representative (VR)
  - Advantages:
    - Possible without mobile capture devices

Mobile:

- Violation documentation with tablet and eControl mobile
  - Disadvantages:
    - Mobile capture devices required (any Windows 8.1 terminal, unlimited portable online and offline use)
  - Advantages:
    - No need for duplication (transfer of handwritten notices is not necessary)
    - Image documentation very easy due to built-in camera
    - Very easy and precise documentation of local coordinates (GPS-based tracking in WGS84 standard)
    - Virtually no time delays – as soon as the mobile capture device has access to the Internet, the violation, including image documentation, immediate measures, etc. is uploaded into the database. The violation representative (VR) is informed by e-mail and the processing sequence can continue.


Violation is committed
(PR)
Violation is detected
Conventional
At Workstation
eControl mobile
(PRR)
Local entry
on paper
Any kind of notice
Process-oriented
violation management
(PRR)
Local entry via
eControl mobile
+ GPS
+ Photo documentation
(PRR)
Local entry
via eControl web
(VR)
(PRR)
Local entry
via eControl web
E-Mail notification
(VR)
Information and
assessment
eControl web
E-Mail form letter
Further processing depending on
effectiveness of the violation

15 The violation form / eForm “Violation”

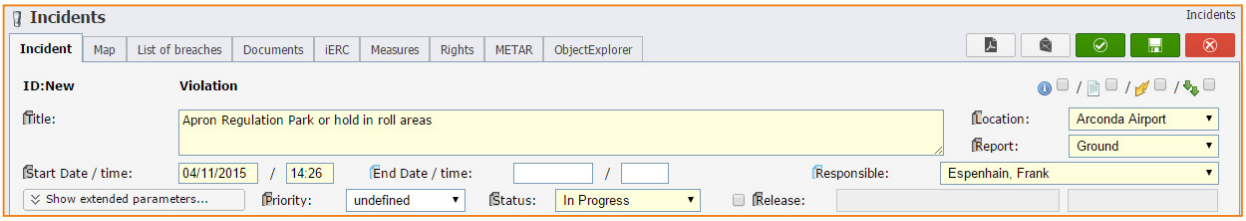
eControl provides a violation form with a number of functions for the processing, evaluation and documentation of violations.

15.1 Summary

- Standard functionality
  - **Traceability** – all data changes are documented in a way that is legally watertight
  - **History** – the processing history is provided in a way that is clear and can be easily understood
  - **Measure management** – the initiation, documentation and performance control of preventive and corrective measures is fully documented
  - **Operational risk management IERC** – for each violation the safety manager can, where required, carry out an assessment of the operating risk in the form of an “Initial Event Risk Classification”
  - **Object explorer** – Violations can be linked with other incidents or system objects such as audits and committee meetings, in order to reproducibly record recognised connections in their content
  - **Statistical evaluation options** – Essentially, each form field is available for statistical analyses, beyond the standard reporting of violation management
- Access to human resources database – Access to these databases systematically documents personalised and process-specific violations
- Permission management - eControl guarantees that personalised data are protected and can only be viewed by the person directly concerned, the violation representative and the person who has documented this violation.

15.2 General violation data

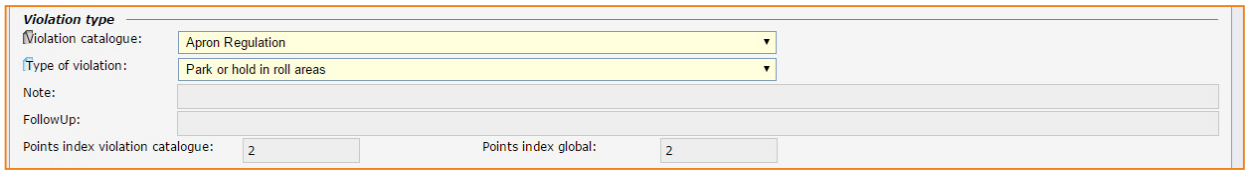
- When did the violation occur?
  - Start date/place
- Who has documented the violation?
  - The responsible person (the drop-down field lists all eControl users and is usually pre-set with the person who is logged on at the time when the violation is captured)
- Access to violation information
  - The violation appears as standard in the daily report of the person with regulatory responsibility (PRR), who has documented the violation. Other users require specific read permissions in order to be able to access the violation data.
  - The violation representative essentially has access to all violations. The view "Violation" displays all violations irrespective of the area allocation, so that they can be processed properly and fully by the violation representative.



The general violation data are relevant for both personalised and process-specific violation management.

15.3 Violation classification

- Violation catalogue
  - Selection of a violation catalogue,
  - subsequently the violation type can be selected
- Verstoßart
  - Selection of a violation type from the catalogue of the previously selected violation catalogue
  - Master data fields for the violation type are displayed
    - Reference text
    - FollowUp
    - Violation catalogue points index
      - a. Form field "Points index violation catalogue" is pre-set
      - b. Editable for violation representative (VR)
    - Global points index
      - a. Form field "Points index global" is pre-set
      - b. Editable for violation representative (VR)
  - Title of the eForm "Violation" is pre-set with "Violation catalogue + violation type"



Each violation must be allocated to a violation type, which must be taken from a previously selected violation catalogue. After a violation type has been selected, the following information is displayed:

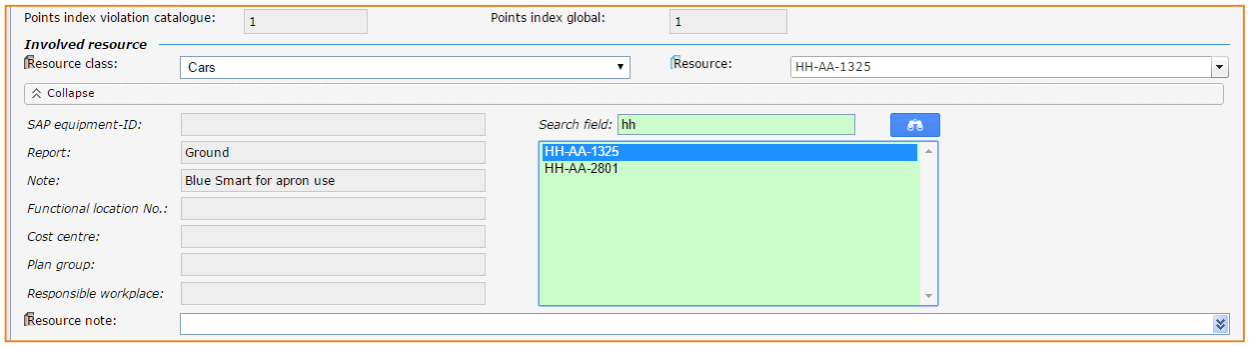
- Reference (reference text for classification)
- Follow-up (recommendation)
- Violation catalogue points index
- Global points index

The data fields "Points index violation catalogue" and "Points index global" can be changed by the violation representative, if operational agreements are changed. After the user has selected a violation type, the title of the eForm is automatically pre-set with violation type and violation catalogue.

The violation classification is a key statistical feature for both personalised and process-specific violation management.

15.4 Ressource allocation / process-oriented violation management

- The resource is available irrespective of any person involved and is therefore of particular importance for process-oriented violation management
- Identification of very frequently involved resources
  - Manual selection of resource class
    - Drop-down field "Resource" is pre-set with the resources associated for the selected resource class
  - Manual selection of resource
    - Resource master data displayed in expansion area
  - Full-text resource search
    - Recommended when there is a very large volume of resources
    - Enter keyword and the list box is pre-set with the references
  - Interfaces for the import of resource master data (e.g. SAP)
  - Manual maintenance of representative resource classes and resources possible via user interface



The expandable screen area "Involved resource" provides for the allocation of an involved resource. The allocation of resource class and resources is particularly significant for process-specific violations, because in this way correlations between resource types and violation types can be determined, thus enabling targeted preventive measures.

In order to simplify the search in a large volume of resources, a full-text search can be carried out. The list box displays all resources containing the search term. With one click, the data fields "Resource class" and "Resource" are overwritten. Further resource master data are also created.

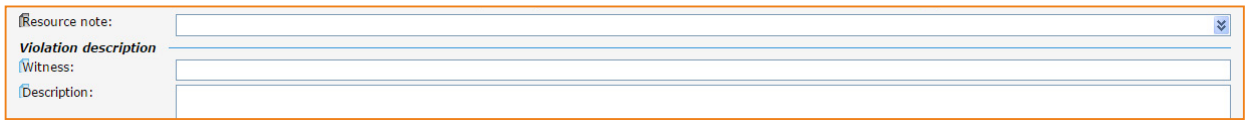
If the involved resource is not contained in the database, the data field "Resource note" can be used to describe the equipment involved.

Resource allocation is relevant for both personalised and process-specific violation management.

15.5 Description of violation

The information about the description of the violation is of particular importance for the individual evaluation and a targeted measure management. Apart from a verbal description of the situation and any available image documentation, no further information about the given violation can be obtained later.

The data field “Description” enables the storage of a reference text containing 4000 characters.



Third-party statements, comments, etc. can also be attached to the current violation as a document. The data field “Witness” records the personal details of the witness. Any witness statements can be attached as a document. The description is relevant for both personalised and process-specific violation management.

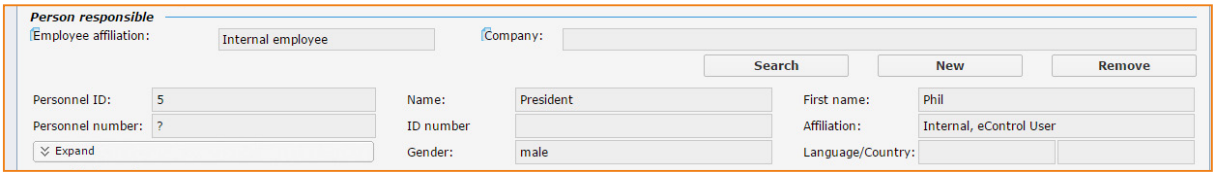
After the selection of a personalised master data record, the personal details recorded are displayed, in order to validate the identification of the person responsible (PR) and to illustrate the potential methods of communication.

In order to avoid the labour-intensive and erroneous capture of HR master data, eControl HR master data administrators can be selected. eControl can store an unlimited volume of HR master data. A parameterisable interface service is available, which enables cyclical data transfer from upstream personnel management, EKP or other systems.

15.6 Personalised allocation

15.6.1 General

- Person responsible screen area
  - Selection of available HR master data records
  - Capture of new HR master data records
- Classification of employee affiliation
  - Own employees
  - Third-party company
- Company affiliation of employee
  - Statistical evaluation criterion
- Expandable area for the display of communication information
- Appeal instructions
  - Appeals
  - Appeal instruction occurs on -> from this date the configurable appeal period begins



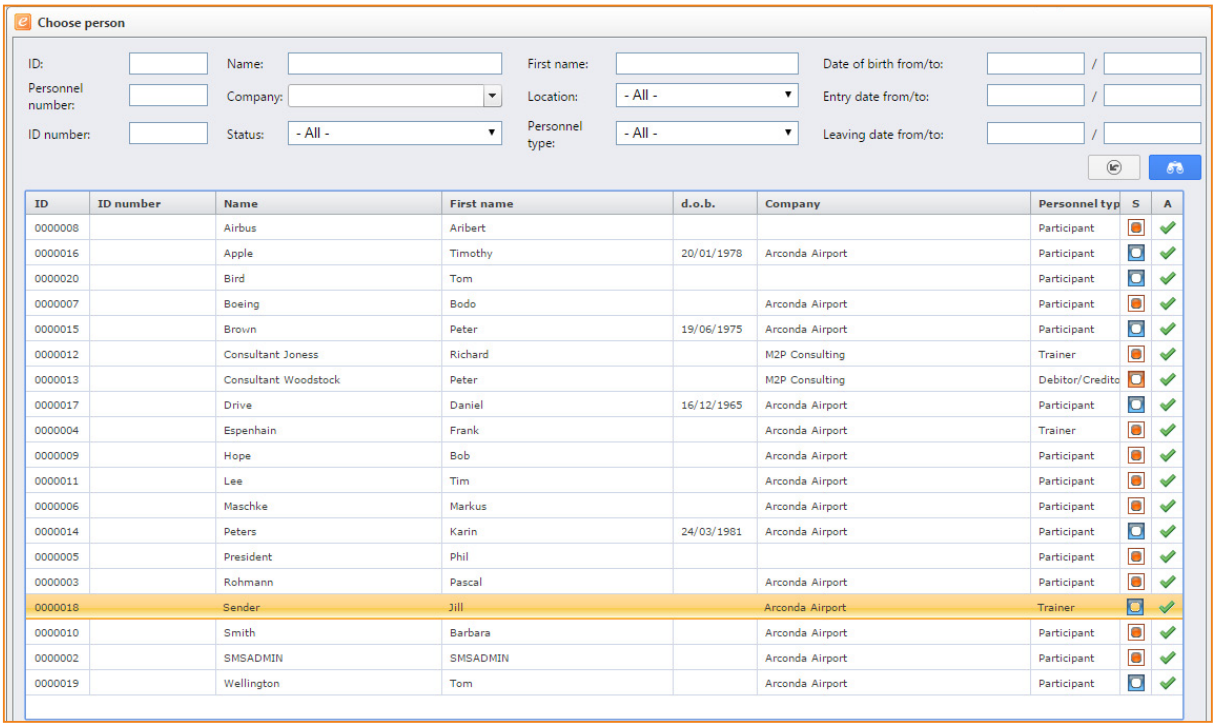
eControl violation management is provided for the administration of all violations, and whether an internal employee or an employee from a third-party company is involved is therefore of no importance.

If the person who has committed the violation can be identified, they must be recorded as the person responsible (PR).

One violation can be allocated specifically to **one** person. If several persons have jointly committed a violation, individual violations must be recorded for the individual persons. The system-based allocation of a person is of particular importance, because only then can the violation account of the person concerned be applied and a potential reaching of thresholds be assessed, which may give rise to corresponding consequences.

Personalised allocation is only relevant for personalised violations. For process-specific violations it is sufficient to record the company affiliation of the violation. Company affiliation is a significant criterion for the organisation of preventive measures – the storage of a violation is not possible unless a company affiliation is stated.

15.6.2 Personalised master data records search



ID	ID number	Name	First name	d.o.b.	Company	Personnel typ	S	A
0000008		Airbus	Aribert			Participant		
0000016		Apple	Timothy	20/01/1978	Arconda Airport	Participant		
0000020		Bird	Tom			Participant		
0000007		Boeing	Bodo		Arconda Airport	Participant		
0000015		Brown	Peter	19/06/1975	Arconda Airport	Participant		
0000012		Consultant Joness	Richard		M2P Consulting	Trainer		
0000013		Consultant Woodstock	Peter		M2P Consulting	Debitor/Creditc		
0000017		Drive	Daniel	16/12/1965	Arconda Airport	Participant		
0000004		Espenhain	Frank		Arconda Airport	Trainer		
0000009		Hope	Bob		Arconda Airport	Participant		
0000011		Lee	Tim		Arconda Airport	Participant		
0000006		Maschke	Markus		Arconda Airport	Participant		
0000014		Peters	Karin	24/03/1981	Arconda Airport	Participant		
0000005		President	Phil			Participant		
0000003		Rohmann	Pascal		Arconda Airport	Participant		
0000018		Sender	Jill		Arconda Airport	Trainer		
0000010		Smith	Barbara		Arconda Airport	Participant		
0000002		SMSADMIN	SMSADMIN		Arconda Airport	Participant		
0000019		Wellington	Tom		Arconda Airport	Participant		

- Identification of the person responsible (PR) by means of:
  - "ID number"
  - "Personnel number"
  - "Name" and "Company"
- Display of the available master data following selection of a person in the eForm

eControl provides a search and preview dialogue for the selection of personalised master data records. There are many selection criteria, whereby the ID or employee numbers in particular can be read from the relevant ID card on-site and which enable the person responsible of the violation to be easily and clearly identified. If no ID card is available, a search can be made using the company affiliation, name and many other criteria. When the person is found, the data can be transferred by clicking on the **OK** button.

The person with regulatory responsibility (PRR) should always try to select a person from the available database. If the search is unsuccessful and the person cannot be found, a quick capture of the HR master data can be done in the dialogue shown below. If a duplicate is inadvertently created during this process, points thresholds are cancelled.

15.6.3 Manual capture of HR master data

The manual capture of HR master data is necessary if, and only if a personalised violation is to be captured, for which no HR master data record can be applied in the system.

Insofar as the personal details are regularly supplied by the data supply service with new or amended HR master data records, the manual capture of HR master data is the exception.

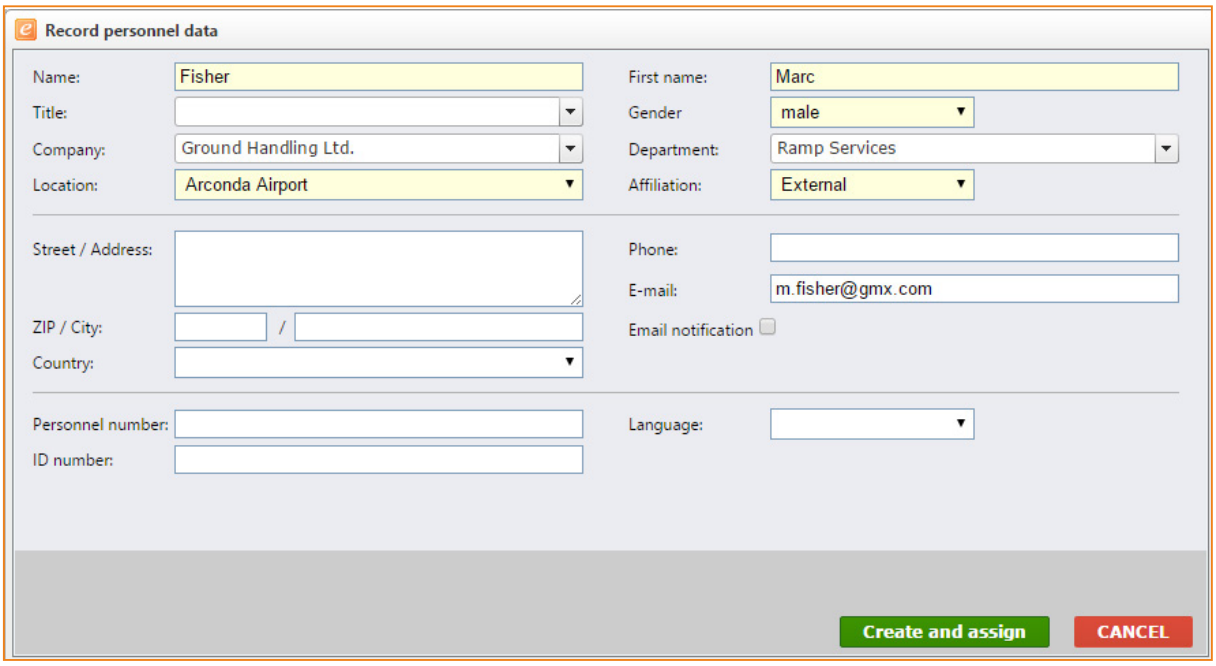
Manual capture is only necessary if the data update is not completed often enough or a particular group of people – e.g. visitors – are either not or not fully captured by the upstream systems.

The data can be captured both from the eForm "Violation" and from data capture by the mobile client.

An HR master data record must include at least the following mandatory data fields, which are highlighted in yellow in accordance with the eControl system standard:

- Name
- First name
- Sex
- Company affiliation
- E-Mail

The dialogue "Record personnel data" is shown below and is opened by clicking on the button "New":



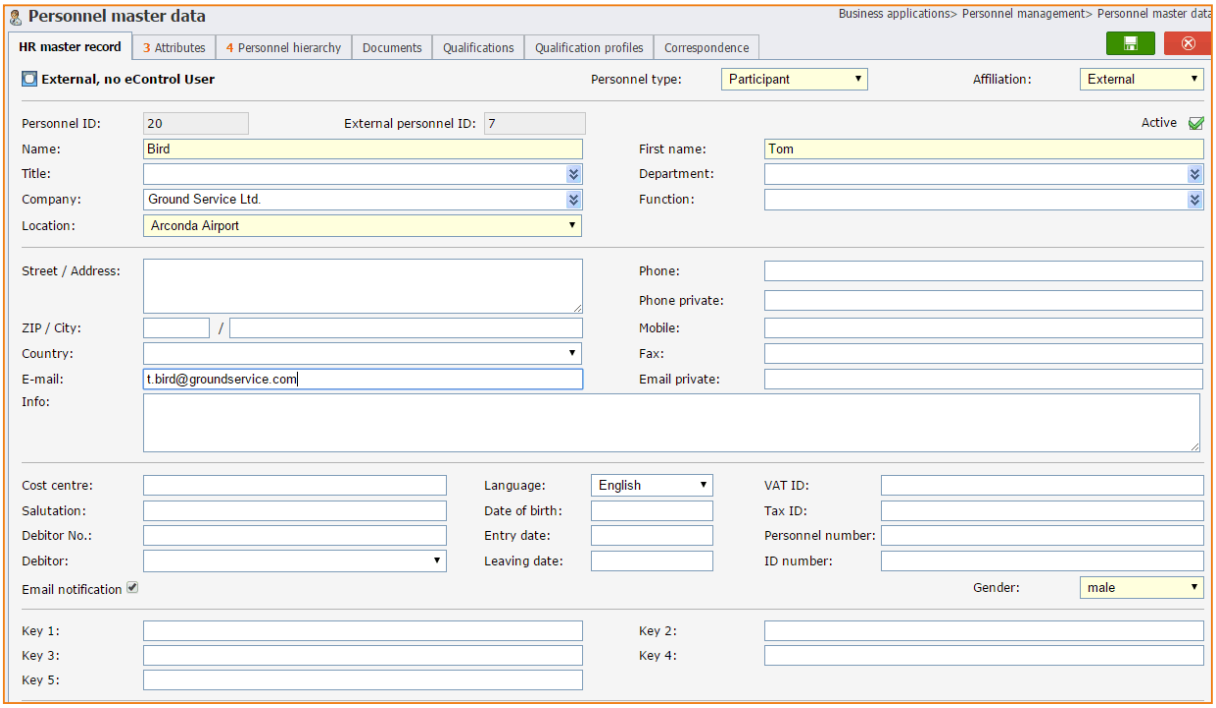
15.6.4 Maintenance of HR master data

The manual maintenance of HR master data is required, if errors occur when capturing HR master data or if a change requirement is identified when HR master data are compared.

They must also be maintained if the associated line manager – normally automatically allocated via the company affiliation – is either not or not correctly associated.

Both the person with regulatory responsibility (PRR) and the violation representative (VR) have – provided that the user right "Personnel master data" has been assigned to them – the possibility to maintain the Personnel master data via the menu item

*"Business applications/ Personnel management **Personnel master data**"*



The central aim of the collection, processing and use of personalised data and the selection and organisation of data processing systems is to collect, process and use as little personalised data as possible. As eControl requires only a very small volume of data to be captured, both operational requirements and agreements with the data protection officer and/or the operational co-determination bodies must be flexibly taken into account when maintaining personnel master data.

15.6.5 Employee hierarchies

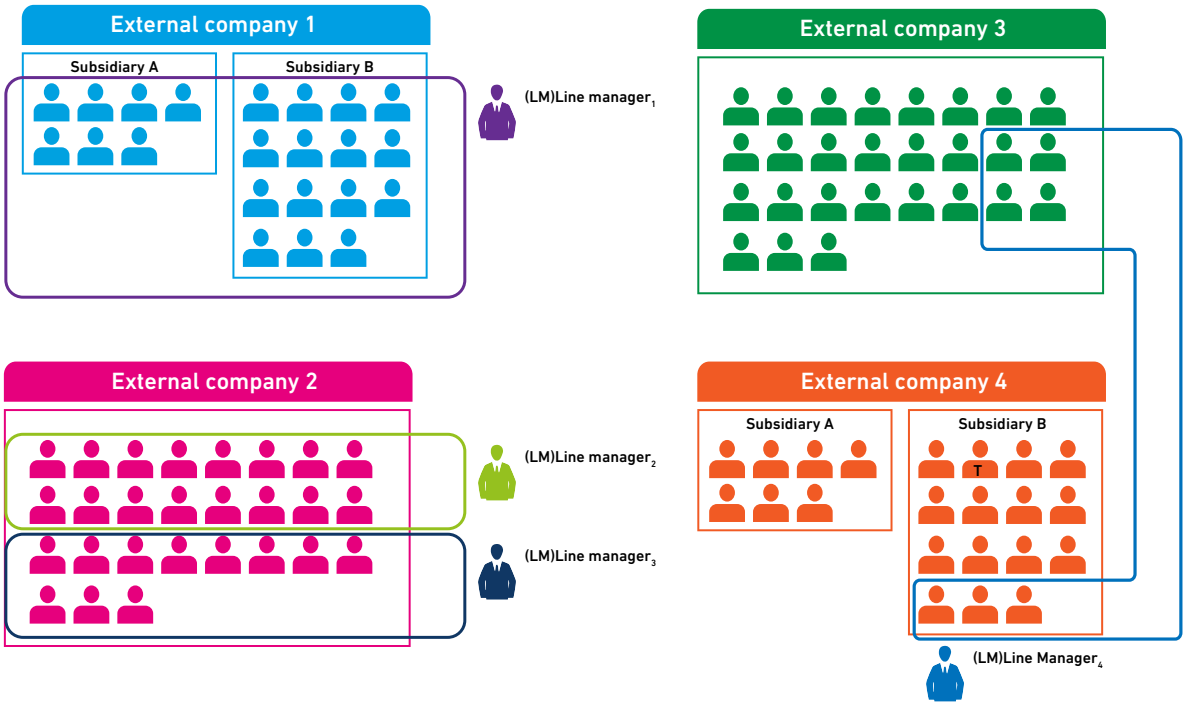
Employee hierarchies are used in the context of violation management, in order to record a hierarchical relationship to line managers or representatives. These hierarchies enable not only the person responsible of the violation but also the designated line managers to be informed by the generation of emails. This is particularly important for people who do not communicate via individual email addresses.

By informing line managers / representatives, specialised departments and third-party companies can be effectively and promptly involved in the implementation of preventive measures.

The nature of the hierarchies presented is dynamic – if new people arrive, to whom hierarchies apply with regard to company affiliation or other criteria, they – once defined – are automatically repeatedly suggested when emails are sent.

The definition of employee-to-line manager relationships is completely flexible with eControl.

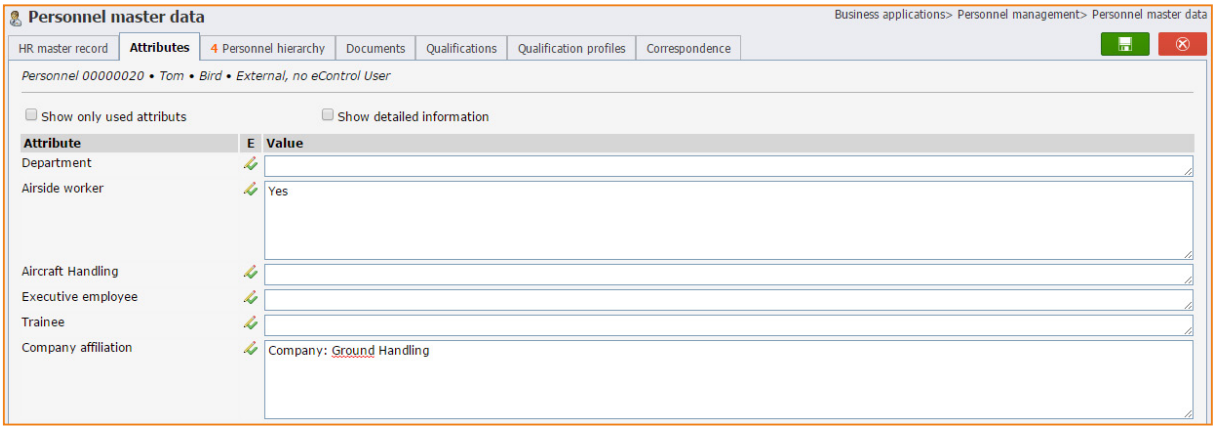
A line manager designated to deal with violations can be appointed company-wide for the internal company or for third-party companies. Accordingly, as many line managers as desired can be defined, in order to reproduce hierarchies. Line managers can also be positioned company-wide, so that a single point of contact can be established for employees of officially independent subsidiaries of the same parent company.



In the course of personalised master data provision via the data supply service, a company attribute is fully automatically assigned to the employees. This can be used for the above-mentioned definition of employee hierarchies. This attribute is also fully automatically managed when HR master data is captured manually via the web form or when data is captured with eControl mobile.

The attribute "Company affiliation" can of course be edited at any time via the HR master data dialogue, in order to correct the hierarchy if it deviates from the standard.

Each HR master data record that is relevant for violation management has the attribute "Company affiliation":



The value "Company: Ground Handling" for the company affiliation attribute is now applied as standard for the hierarchical relationship with regard to violation management.

The only requirement for this is that a corresponding employee hierarchy be recorded for this line manager.

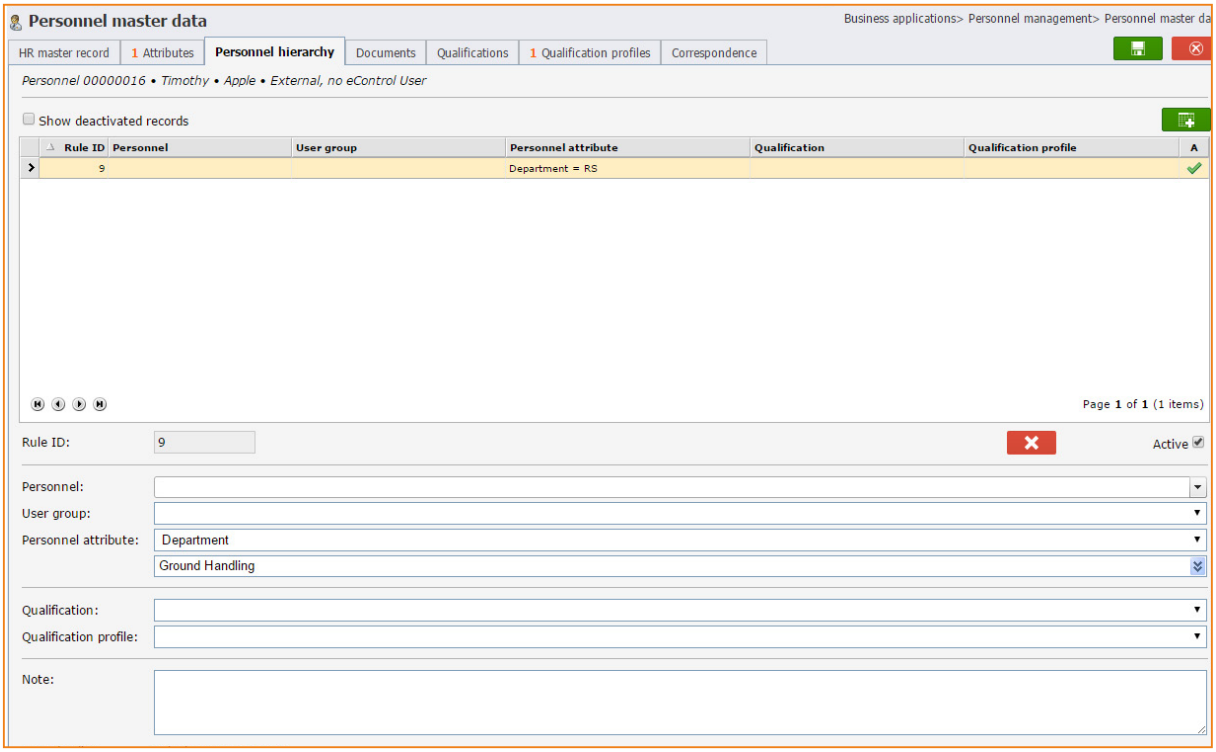
This employee hierarchy can be recorded as follows:

Attribute Company = "Company Ground Handling"

This line manager can also be fully automatically informed by eControl about whether the driving licences of any of his employees are due to expire shortly, if they are invited to forthcoming qualification events, etc.

If a line manager is only to be informed about violations, the notification logic can be restricted by applying the system parameter "[special hierarchy] – violation management" as qualification.

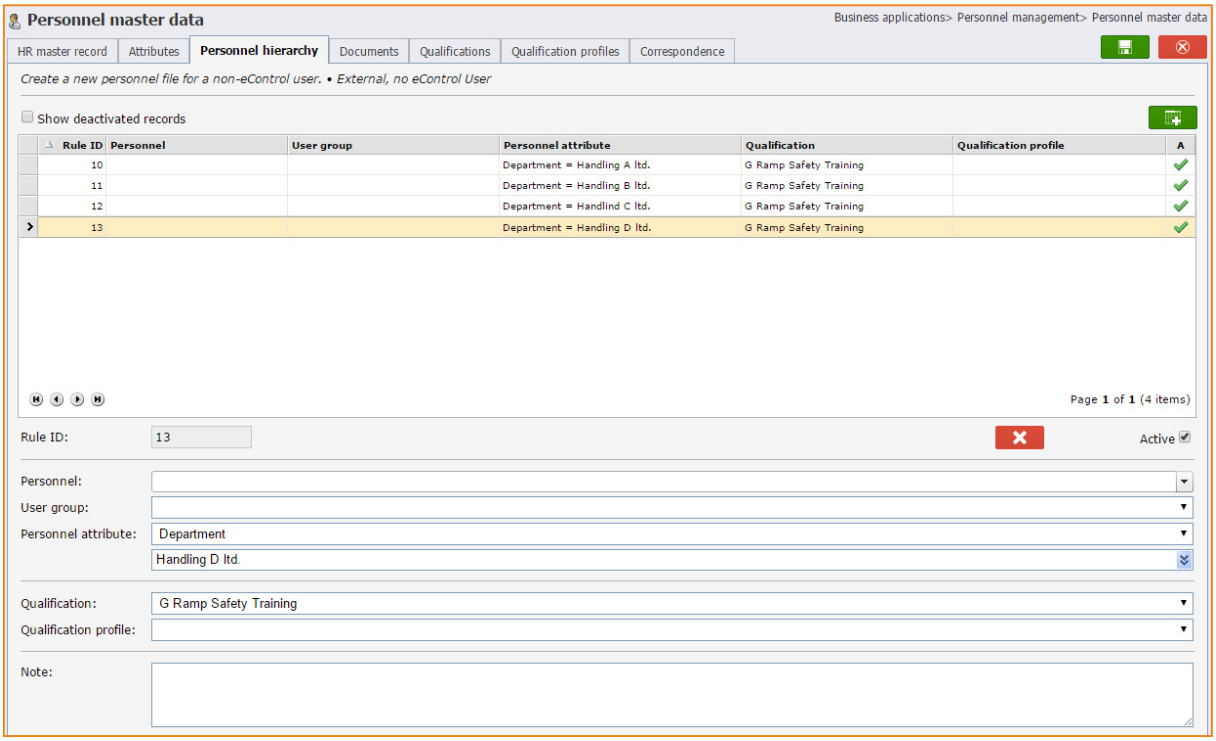
Below an employee hierarchy – as described in the example - has been structured for all employees affiliated to the company “Ground Handling” for the employee “Peter Smith”.



If the compliance manager "John Doe" is appointed for the subsidiaries:

- "Handling A Ltd."
- "Handling B Ltd."
- "Handling C Ltd."
- "Handling D Ltd."

and must be exclusively informed about the violation issues of the four companies mentioned above, the following adjustments must be made:



TQMS

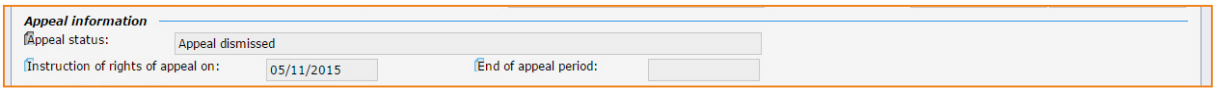
Further information about employee hierarchies can be found in our catalogue: „TQMS Training and Qualification Management"

15.6.6 Appeals

Appeals are key to the effectiveness of violations. The process sequences are discussed in „7. Appeals in personalised violation management“.

As a rule, no manual intervention by the violation representative is necessary. The person with regulatory responsibility (PRR) informs the person responsible (PR) about his appeal options. This is documented by the person with regulatory responsibility (PRR) in the eForm or with eControl mobile in the data field “Instruction of rights of appeal on”, whereupon the appeal period begins. A background service regularly and fully automatically checks whether the appeal period has expired. As soon as this is the case, the data field “End of the appeal period” is filled and the appeal takes effect fully automatically.

If the person responsible (PR) lodges an appeal, this is processed manually by the violation representative according to the current operational agreements. This step is concluded with the specification of an appeal status, which characterises the violation as effective or ineffective.



15.6.7 Validation result

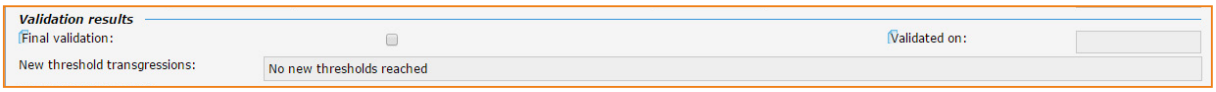
The validation of the violation is the responsibility of the violation representative (VR), is relevant for both personalised and process-specific violations and requires the user right "Evaluate violations".

As soon as the violation representative has characterised the violation as "Final validation" in the check box, the processing of the violation by the violation representative (VR) is concluded and he must then, if appropriate, initiate consequences in a separate form. This does not however mean that other specialised departments – e.g. safety management – have also concluded the processing of the violation – where appropriate, participating organisations must give their opinion at a committee meeting and propose preventive measures.

The validation of a violation arises from a violation that has become effective and for which the points account during the assessment period and the points balance is being allowed to accrue. (see section 15.7 "Account information in the violation dialogue")

The eControl system assesses whether and which thresholds are being reached by the violation that has now become effective and displays this in the data field "New threshold transgressions".

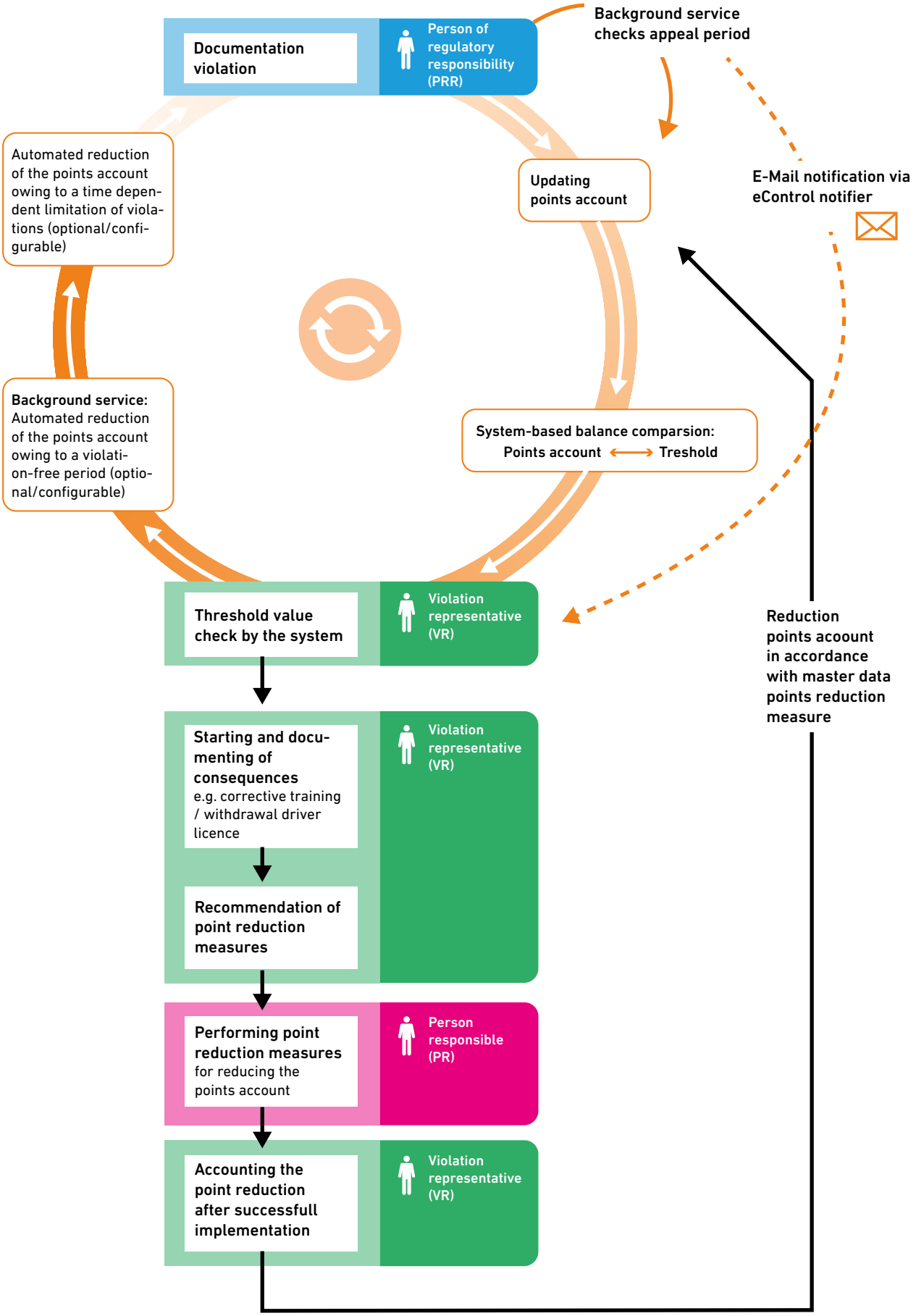
When these thresholds are reached, consequences come into force, which must be enforced and implemented by the violation representative. (see chapter 18 "eForm: Consequences")



The final audit for violations is also required for non-personalised and process-specific violations. For process-specific violations, corrective or preventive measures must also be initiated by the violation representative (VR) against the background of the current violation as the case may be.

For personalised violations where one or more thresholds have been reached, the violation representative (VR) must enter a consequence after the final audit. Consequences can also involve the obligatory participation in refresher courses or similar events, whereby participation has a reductive effect on the points account.

After the violation representative has assessed or actively taken note of the situation, the thresholds reached are automatically permanently stored. The electronic form, including the balances calculated at this point, is stored as a PDF file in the document archive.


Documentation violation
Person of regulatory responsibility (PRR)
Background service checks appeal period
Automated reduction of the points account owing to a time dependent limitation of violations (optional/configurable)
Updating points account
E-Mail notification via eControl notifier
Background service: Automated reduction of the points account owing to a violation-free period (optional/configurable)
System-based balance comparsion: Points account ⟷ Treshold
Threshold value check by the system
Violation representative (VR)
Reduction points acoount in accordance with master data points reduction measure
Starting and documenting of consequences e.g. corrective training / withdrawal driver licence
Violation representative (VR)
Recommendation of point reduction measures
Performing point reduction measures for reducing the points account
Person responsible (PR)
Accounting the point reduction after successfull implementation
Violation representative (VR)

15.7 Account information in the violation dialogue

The account information can only be calculated for personalised violations. eControl supports both the person with regulatory responsibility (PRR) and the violation representative (VR) by calculating and displaying individual violation accounts for each person, whereby different violation catalogues are separately managed.

The concept of violation catalogues and the general points system are described in Chapter „9. Account system for internal and external employees“.

As soon as a person has been selected, the current points balance can be automatically calculated for each violation catalogue, taking into account all violations. During the capture of the violation, the current violation is taken into account, as soon as a violation type has been selected.

In addition, only effective violations are taken into account when calculating account information – violations whose appeal period has not yet expired or for which an appeal has been lodged are not included in the calculation of the points balances.

The system also identifies whether the validity period of violations and reduction measures has expired – if these have already lapsed, they must not be taken into account.

A background service also regularly assesses whether the selected person has had a long period free of violations, which has led to an automatic points reduction, which reduces the violation account.

After the current points balance has been determined, the system can identify whether one or more thresholds have been reached.

The assessment is fully automatic and the thresholds are monitored separately. The thresholds can have different threshold values, which may deviate considerably from the overall balance of the points account. Individual assessment periods can be entered when defining thresholds and *older* violations are disregarded – e.g. “7 points in the last 12 months”.

The account information is available to both the person with regulatory responsibility (PRR) and the violation representative (VR). It is displayed in the eForm “Violation” and during the on-site capture of violations with eControl mobile.

To enable a complete and accurate calculation of the account balances, all violations, consequences and reduction measures are always indicated – irrespective of whether the person with regulatory responsibility (PRR) who is logged on has full access to all processes.

In this way, immediate measures can be reliably initiated when documenting a violation, provided that this is provided for in the relevant operational agreements.

Account information

Violation catalogue	Account			Points index global	
	Count	Points		Count	Points
Airport Regulations					
Violations	5	17		5	14
Point reductions or violation free time frame	0	0		0	
Consequences	0			0	
Catalogue balance		**17**			
Analysis of consequences Airport Regulations					
Retraining, if 15 points in 12 months months		**Currently: 16 Threshold reached**			
Loss of Apron Driver Licence, if 20 points in 12 months months		Currently: 16			
Loss of Apron Driver Licence, if 30 points in 24 months months		Currently: 17			
Apron Regulation					
Violations	1	5		1	5
Point reductions or violation free time frame	0	0		0	
Consequences	0			0	
Catalogue balance		**5**			
Safety Regulations					
Violations	0	0		0	0
Point reductions or violation free time frame	0	0		0	
Consequences	0			0	
Catalogue balance		**0**			
Global					
Violations				6	19
Point reduction				0	
Consequences				0	

The accounting and threshold assessment logic is visualised by means of the bar chart shown below, using a specific example.

The above bar chart shows the violations at the time when they were committed, displaying them on the time axis in chronological order with regard to their validity period. The points for each violation are expressed by the height of the bars.

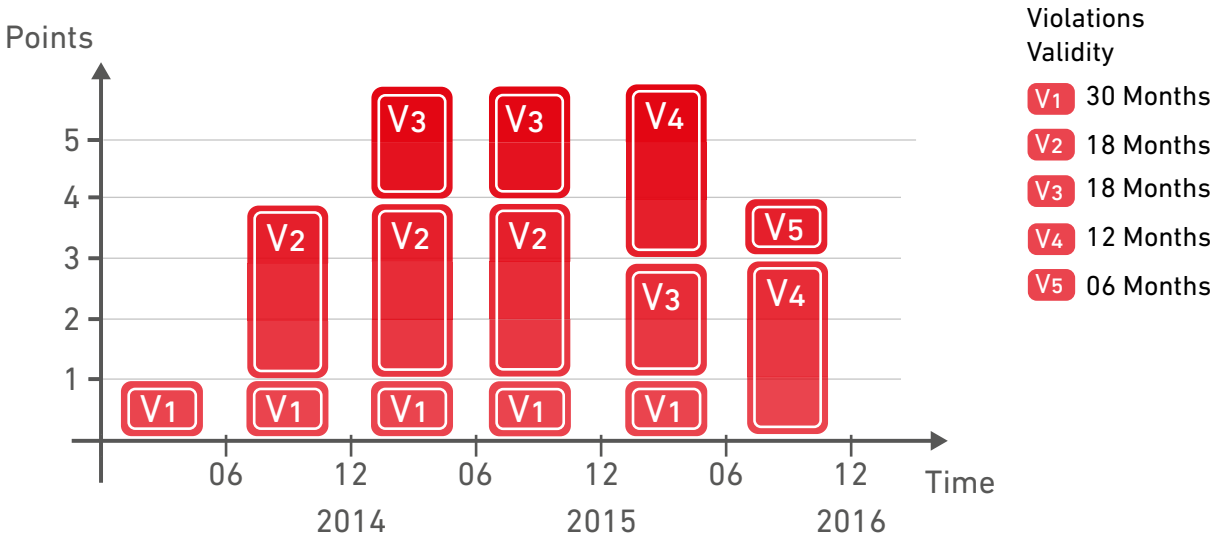
In examples 1 and 2 a threshold is assessed at different assessment dates, taking into account any violations committed in the last 12 months.
In example 1 the date „12-2015" is assessed

Violations V1 and V2 are older than the assessment period limited to 12 months – in this case only violation V3 is relevant. The threshold-specific points balance therefore only consists of the two points of violation V3.

In example 2 the date "12-2016" is assessed.

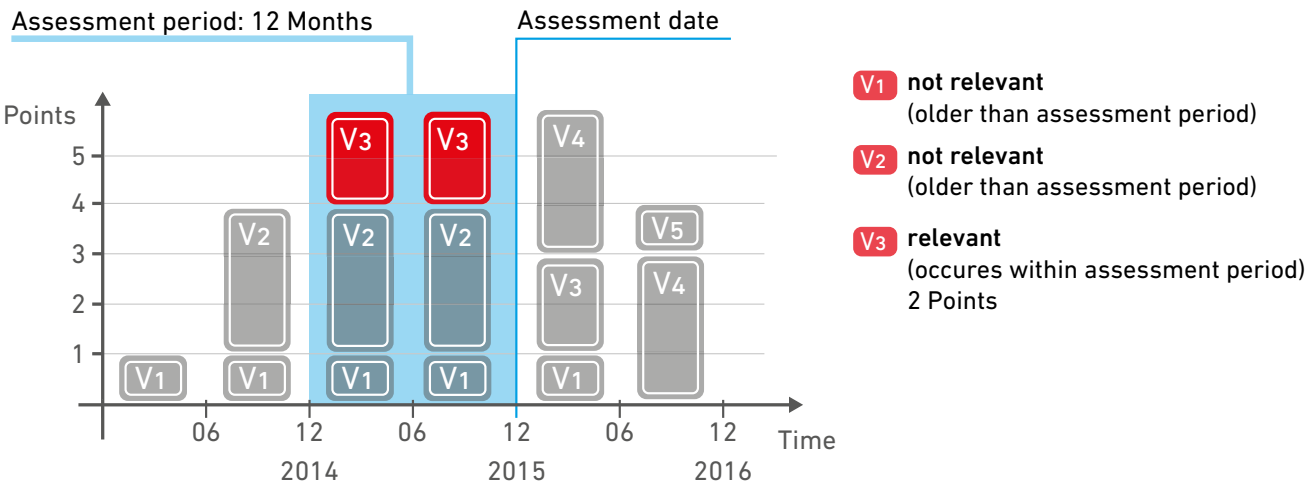
Violation V3 is also now older than 12 months and therefore falls outside the scope of the calculation. However, violations V4 and V5 have been committed during the assessment period of 12 months and give rise to a threshold-specific balance of four points.

Whether or not the threshold under consideration has led to a consequence, depends on the individual definition of the threshold (see chapter 12 "Administration of threshold values").



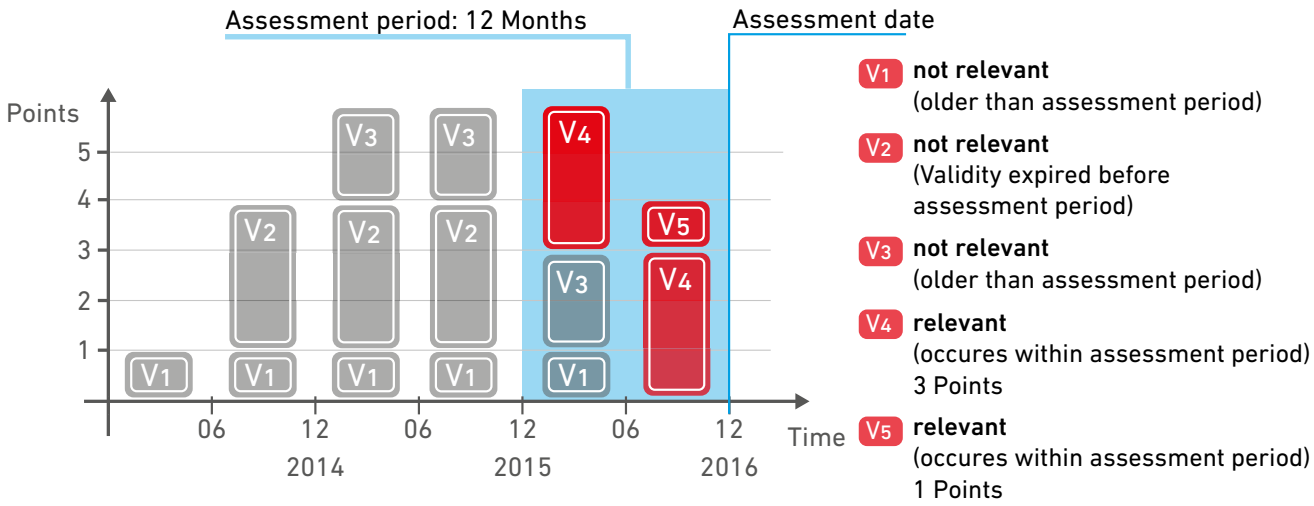
Sample 1:

Threshold Account = 2 Points



Sample 2:

Threshold Account = 4 Points



15.8 The legal framework - as complex as your organisation´s operational agreements

eControl has at its disposal a number of options for mapping a wide variety of regulations of different organisations, without the need for expensive and maintenance-intensive individual programming.

This flexibility enables the violation processing sequences to be quickly and reliably adapted to amended operational agreements or prevention programmes.

All validity periods for violations, reduction measures, thresholds and for automatic limitations for violation-free periods are optional. These settings can, but do not have to be applied. A violation type without a validity period never expires.
In practice, existing data are carried over by the manufacturer, the legal framework in the form of deadlines, catalogues and background services is initially configured and the employees are taught how to operate the system.

The day-to-day business and the occasionally required adjustments to amended framework conditions can then be managed smoothly by the violation representative (VR) himself.

15.9 Violation list

The violation list is available both in the eForm and in eControl mobile.

In the eForm a list of all violations committed by the selected person or the specified company is indicated in a separate register tab.

The violation list can be used for both personalised and process-specific violations.

The violation list shows when and which violations have been committed, how many points they have accrued and whether consequences have already been initiated.

This information enables the person with regulatory authority (PRR) on-site to form an authentic overview – repeat offenders are reliably identified. This information is essential if the person responsible (PR) is to be given the proper guidance by the person with regulatory authority (PRR).

In order to enable a complete and accurate presentation of the violation list, all violations, consequences and reduction measures are always indicated – irrespective of whether the person with regulatory responsibility (PRR) who is logged on has full access to all processes.

Date	ID	Type	Violation catalogue	Violation type	W.f. status	Points	valid to	significant	Account Global
27/02/2016	13927	Violation	Airport Regulations	Not-wearing the visibility clothing		1 *(1)*	27/02/2017	1 *(1)*	*23*
10/02/2016	13926	Consequence	Airport Regulations	Retraining					
		Threshold:	15; 12; Retraining			*from breach:* 13924			
25/01/2016	13924	Violation	Airport Regulations	Ignore the sign "Stop during taxiing traffic"		12 *(12)*	-	12 *(12)*	*23*
28/12/2015	13925	Violation	Airport Regulations	Ignore the smoking ban		6 *(6)*	28/12/2017	6 *(6)*	*11*
05/11/2015	13905	Violation	Airport Regulations	Ignore the sign "Stop during taxiing traffic"		5 *(5)*	-	5 *(5)*	*5*
04/01/2015	13914	Violation	Airport Regulations	Not-wearing the visibility clothing		2 *(2)*	04/01/2016	-	

15.10 Document management

eControl enables all available documents connected with the current violation to be centrally stored in the eControl document archive.

A detailed image documentation can be provided, particularly when using mobile terminals, whereby saved images can be automatically stored in the archive with the built-in camera.

The document archive is also used to store correspondence. With personalised form letters that are archived as standard, eControl makes it easier for the violation representative (VR) to correspond.

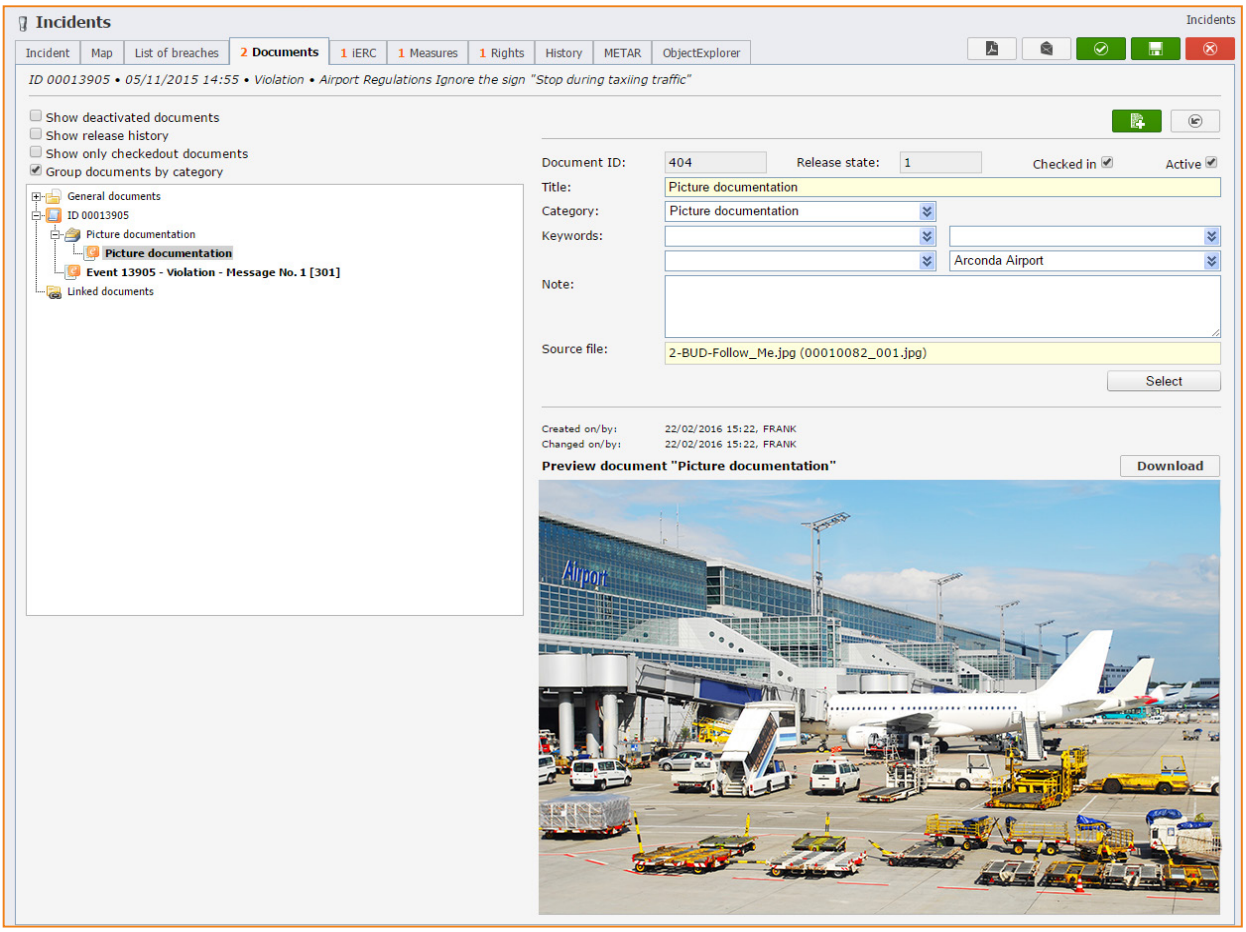
eControl documents the assessment of each violation by the violation representative (VR), by archiving the violation form with the current account balances fully automatically as a PDF document.

A number of other documents may also emerge during the administrative processes involved in violation management, e.g.

- Appeal documents
- Opinions of the person responsible (PR)
- Violation committee (VC) documents

The eControl document archive has a number of different standards that are also available for violation management:

- Tagging of documents for research across all processes
- Fully automatic version management
- Unlimited number of documents
- Display of documents of linked objects
- Access to the violation-specific documents requires read permissions for this violation


Incidents
Incidents
Incident
Map
List of breaches
2 Documents
1 iERC
1 Measures
1 Rights
History
METAR
ObjectExplorer
ID 00013905 • 05/11/2015 14:55 • Violation • Airport Regulations Ignore the sign "Stop during taxiing traffic"
Show deactivated documents
Show release history
Show only checkedout documents
Group documents by category
General documents
ID 00013905
Picture documentation
Picture documentation
Event 13905 - Violation - Message No. 1 [301]
Linked documents
Document ID:
404
Release state:
1
Checked in
Active
Title:
Picture documentation
Category:
Picture documentation
Keywords:
Arconda Airport
Note:
Source file:
2-BUD-Follow_Me.jpg (00010082_001.jpg)
Select
Created on/by:
22/02/2016 15:22, FRANK
Changed on/by:
22/02/2016 15:22, FRANK
Preview document "Picture documentation"
Download
Airport

15.11 Measures

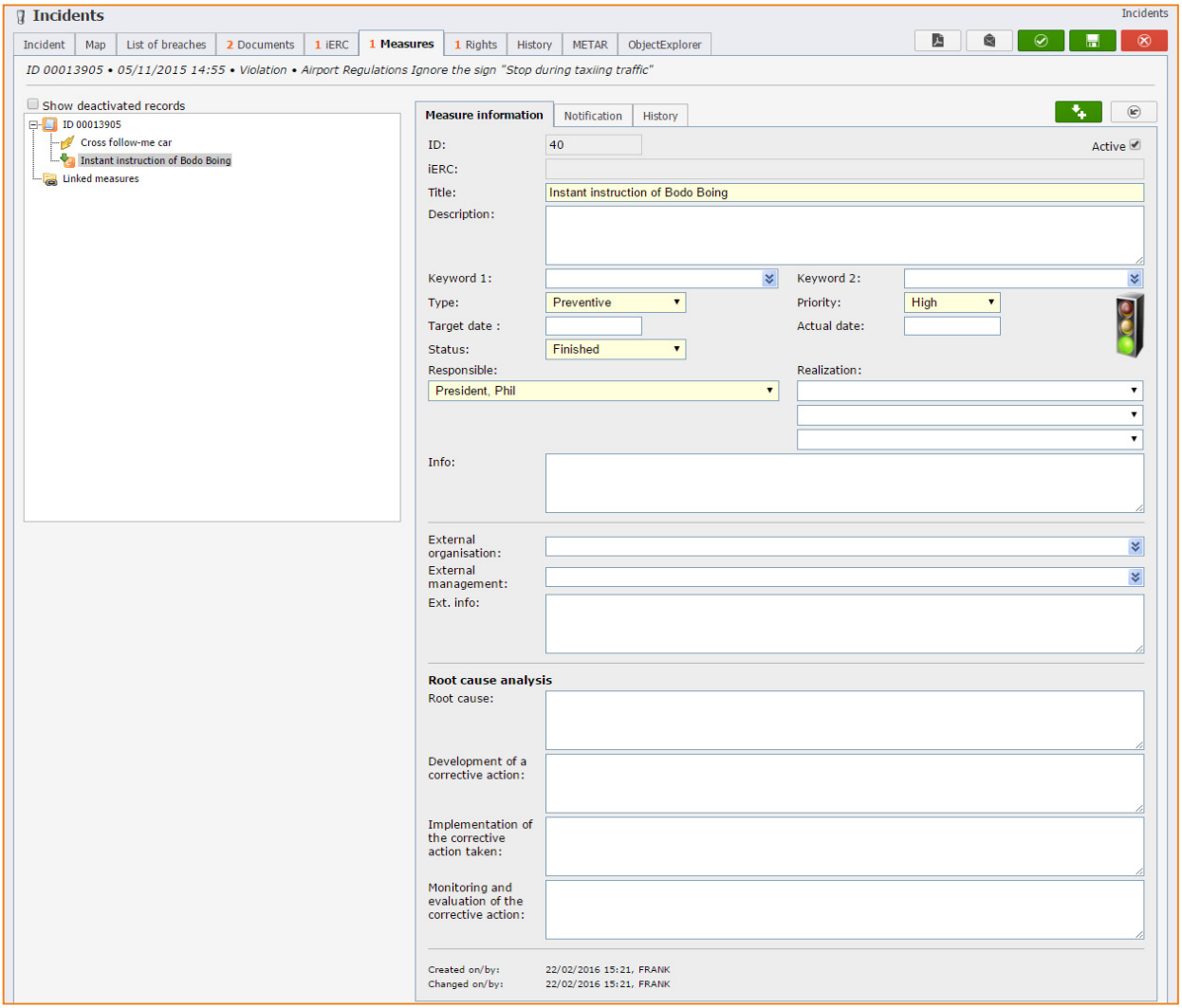
eControl measure management is used for the organisation, monitoring and verification of preventive measures.

Measure management is primarily intended for process-specific preventive measures and thus supplements the consequences of personalised violation management.

In general, all functions are available for violation management measures according to the system standard:

- Traffic light function, target dates and measure status
- Root cause analysis
- Automatic e-mail notifications for overdue measures

Measure management also comprises the documentation of immediate measures, which can be recorded by the person with regulatory responsibility (PRR) with eControl mobile when documenting a violation on-site.



15.12 History

eControl guarantees the traceable storage of all data changes.

The system's database records

- Time of change
- Logged on user
- Data field
- Value before the change
- Value after the change

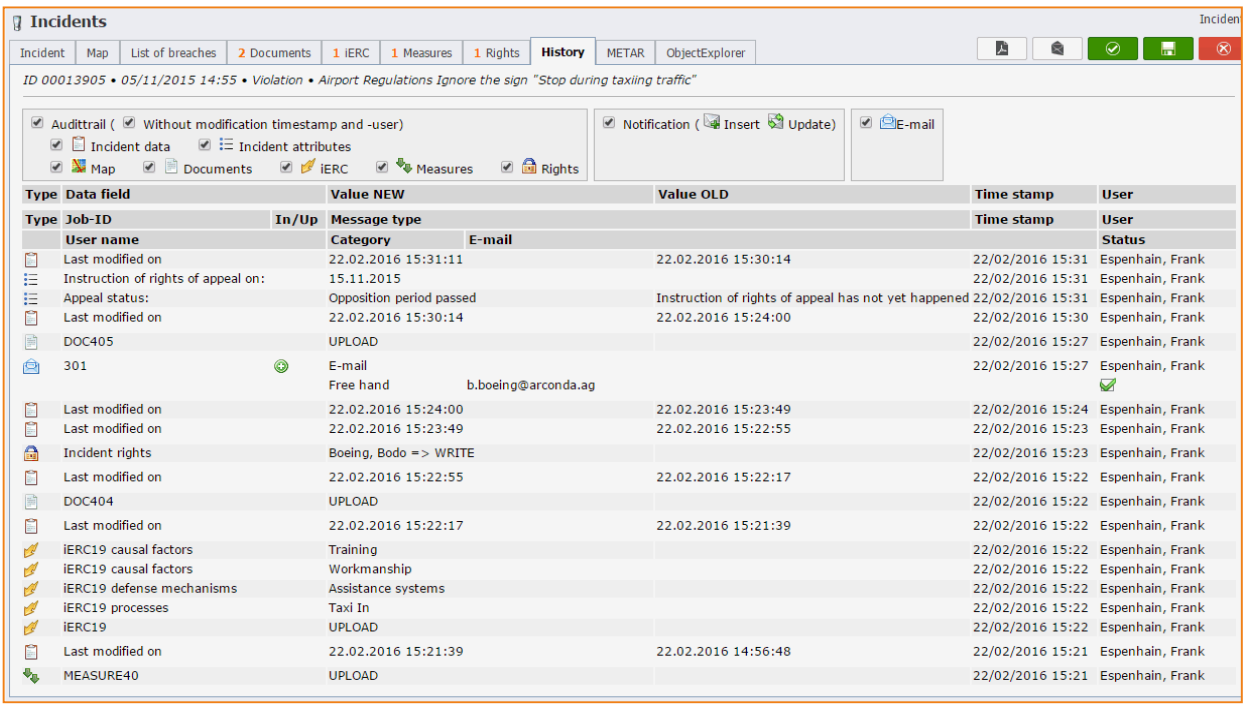
The history is shown on a separate register tab and lists the data changes in a form that is legible for the user, and which does not require a more detailed knowledge of the system. In addition to the data changes

- E-Mail notfifications and
- E-Mails

are displayed, in order to obtain an overview of which form status the relevant organisational units have at their disposal.

Information can be obtained from the history about which processing status has displayed a violation and when, and can therefore serve as evidence of correct violation management.

Access to the history requires the user right "Read audit trail". The display of the names of users who have made the changes, of email dispatches and notifier notifications can also be assigned to specific users.

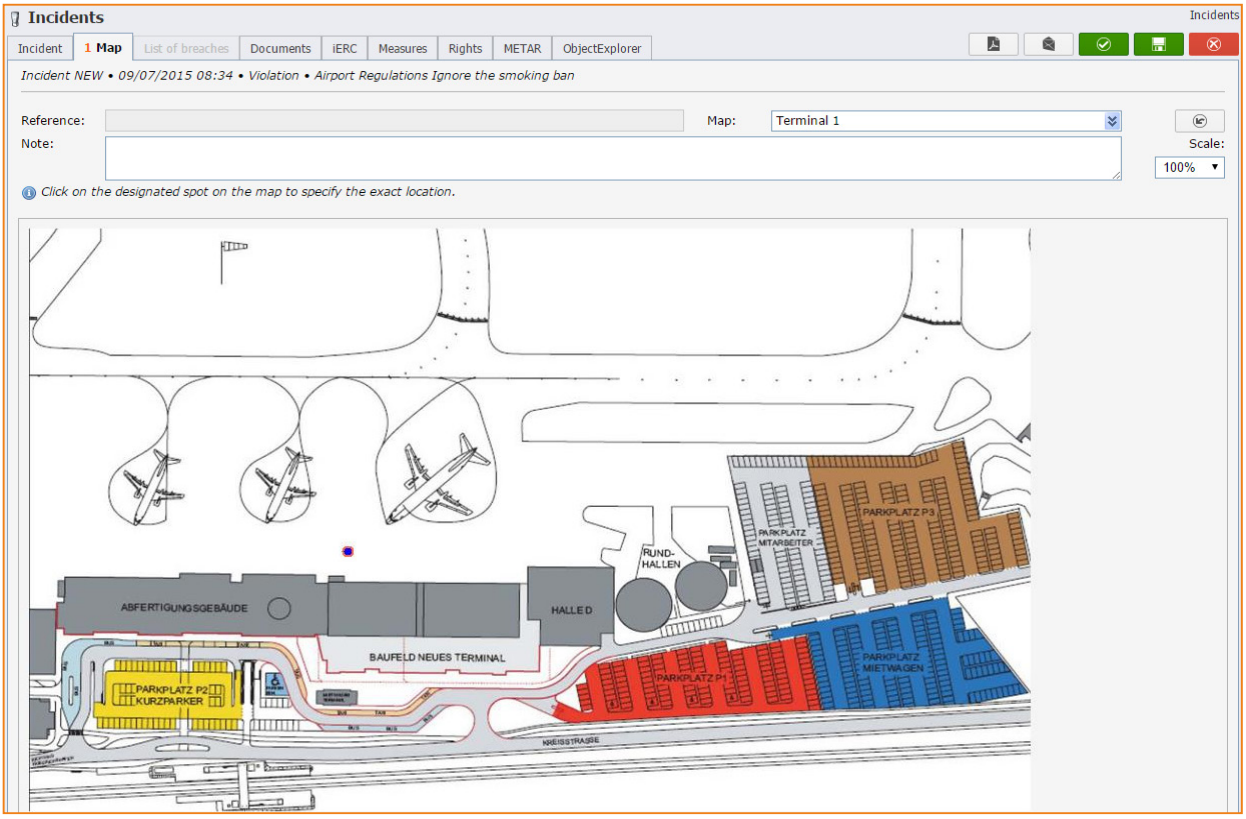


15.13 Local information

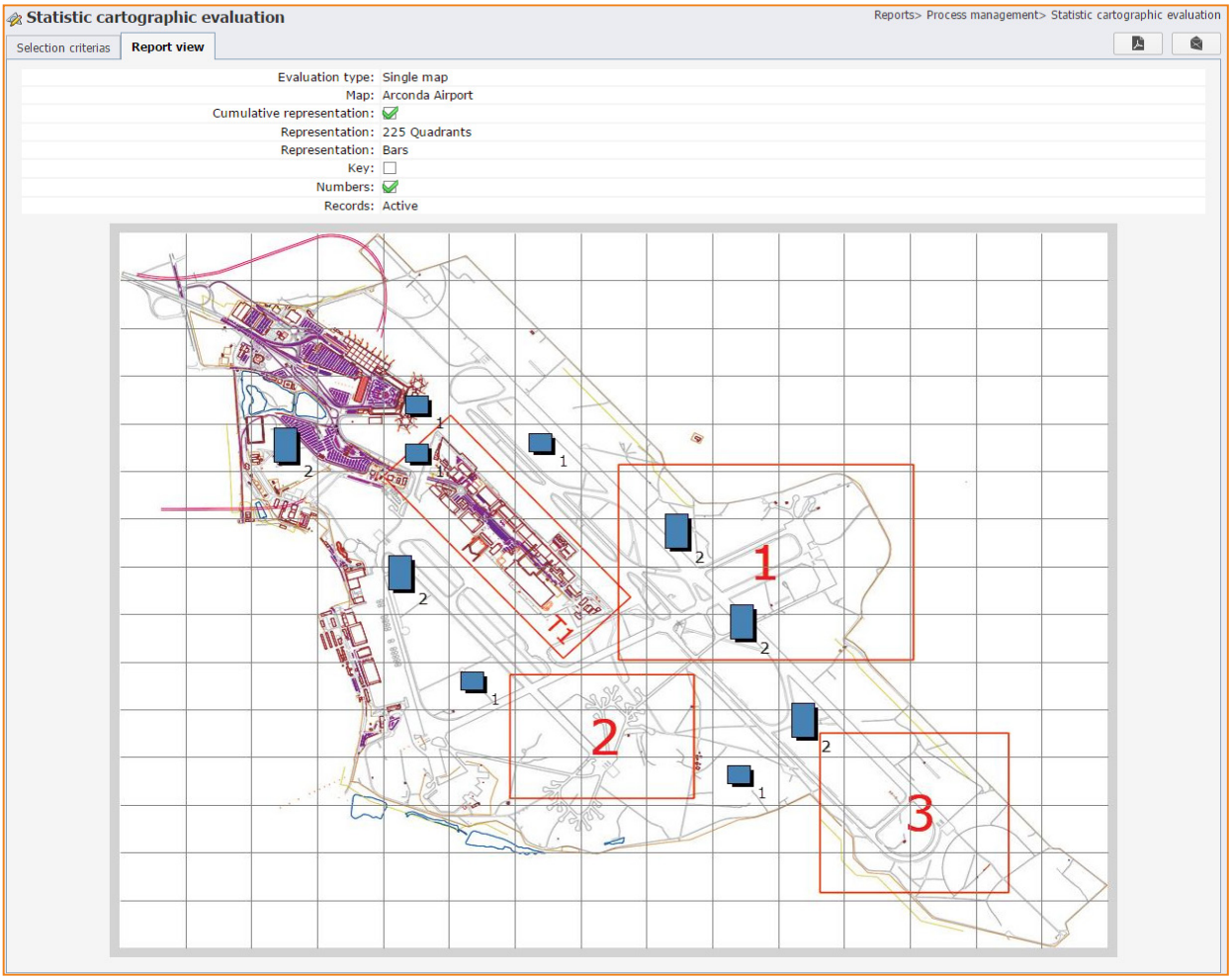
- Local information is relevant for both a statistical evaluation and for a documentation of violations.
- With eControl mobile, local information can be recorded easily and accurately using the built-in GPS receiver of the mobile terminal
- Local information is stored in WGS84 format

Local information can be captured and changed with both eControl mobile and in the Violations eForm by fixing a point on the recorded map. With eControl, local information can be mapped on as many calibrated maps as desired. The maps are easily calibrated by means of a software system support.

On the Map register tab a location can be specified for each violation and this is used for local statistical evaluations. In addition, a free object can be marked on the map with the eForm “Violations”. This polygon can be structured as desired by the user and used for the graphic documentation of violations.



eControl has a statistical evaluation option for the evaluation of local information, by means of which so-called hotspots can be identified. eControl scans the map according to user specifications and calculates a frequency distribution.



15.14 Violation and safety management interface

Violations are an important source of data for safety management. They are a significant indicator for unsafe practices, which mostly go unnoticed and are repeated until the combination of different states leads to an accident or material damage.

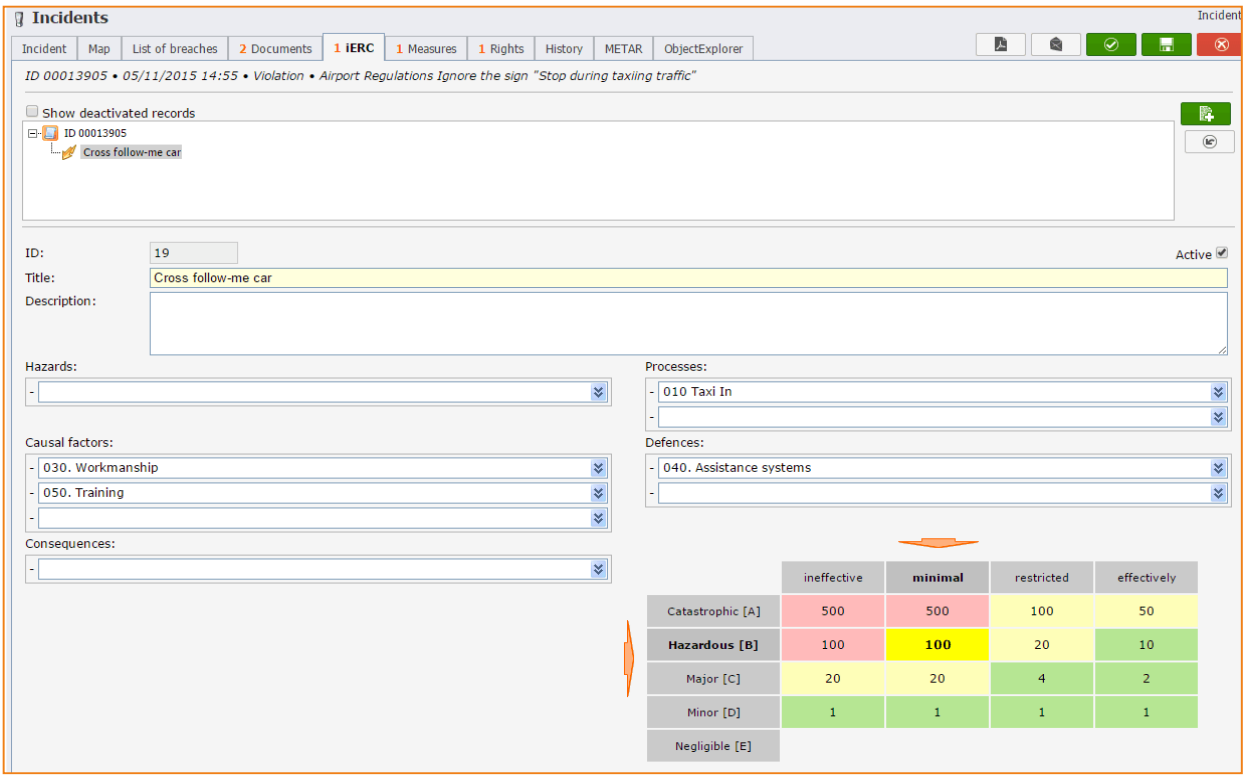
In section „eControl notifier - E-Mail Alerts“ a notification rule is described, which informs safety management when, and only when safety-relevant violations occur.

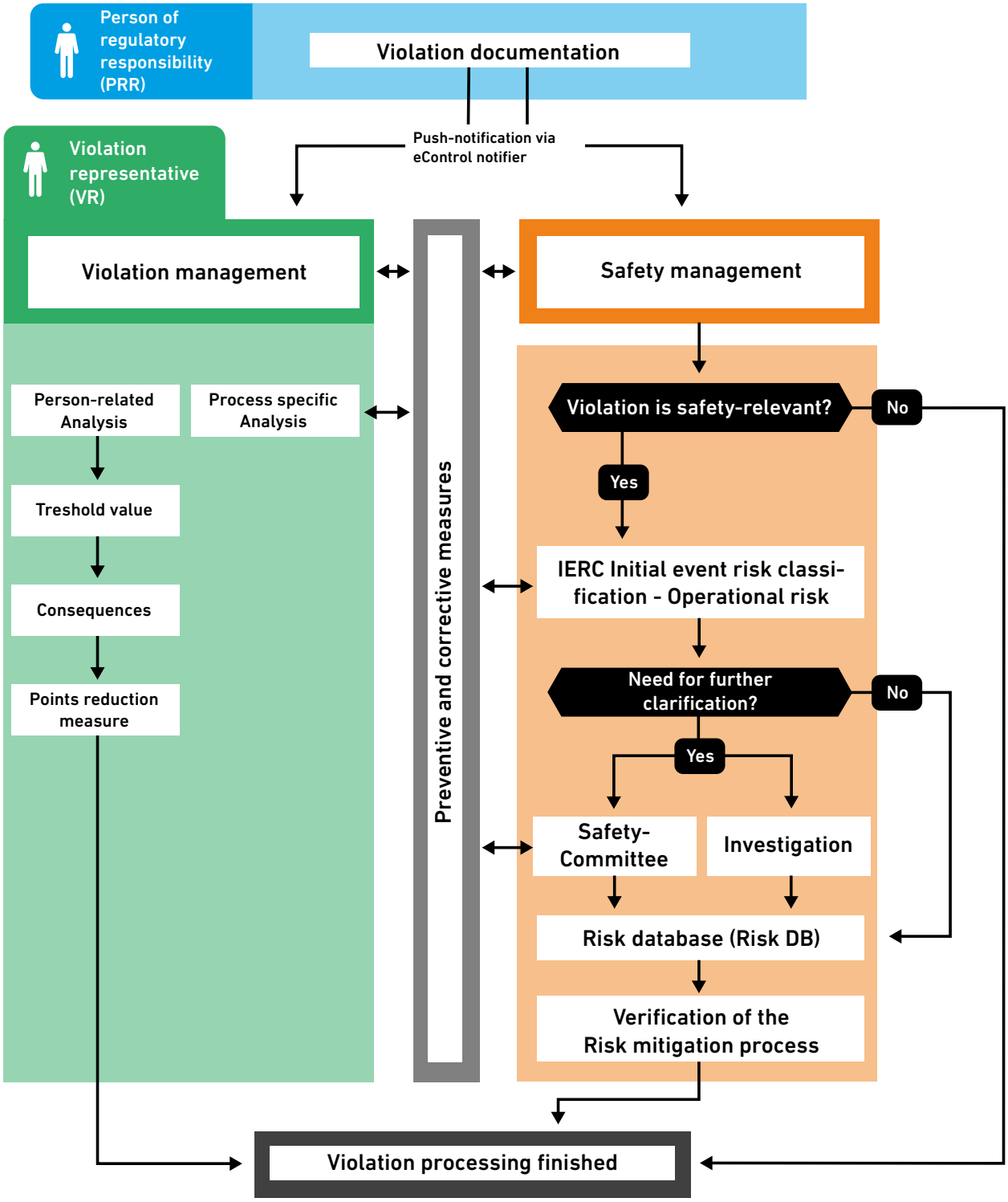
Usually, safety management obtains read and write access to all violations, consequences and reduction measures. With this permission, information can be amended and measures created or processed.

Responsibility for the violation management processing sequences rests with the violation representative (VR) – only with the user right “Evaluate violations” can the relevant process status information be maintained.

Pending measures can be processed both by the violation representative (VR) and safety management, taking into account the collaboration between these organisational units.

The register tab IERC – Initial Event Risk Classification – is available for the analysis of the operating risk. In this dialogue the safety manager classifies the initial event risk according to the methodology of the EASA Airline Risk Management Solutions (ARMS) working group.




Person of regulatory responsibility (PRR)
Violation documentation
Push-notification via eControl notifier
Violation representative (VR)
Violation management
Safety management
Person-related Analysis
Process specific Analysis
Treshold value
Consequences
Points reduction measure
Preventive and corrective measures
Violation is safety-relevant?
No
Yes
IERC Initial event risk classi-fication - Operational risk
Need for further clarification?
No
Yes
Safety-Committee
Investigation
Risk database (Risk DB)
Verification of the Risk mitigation process
Violation processing finished

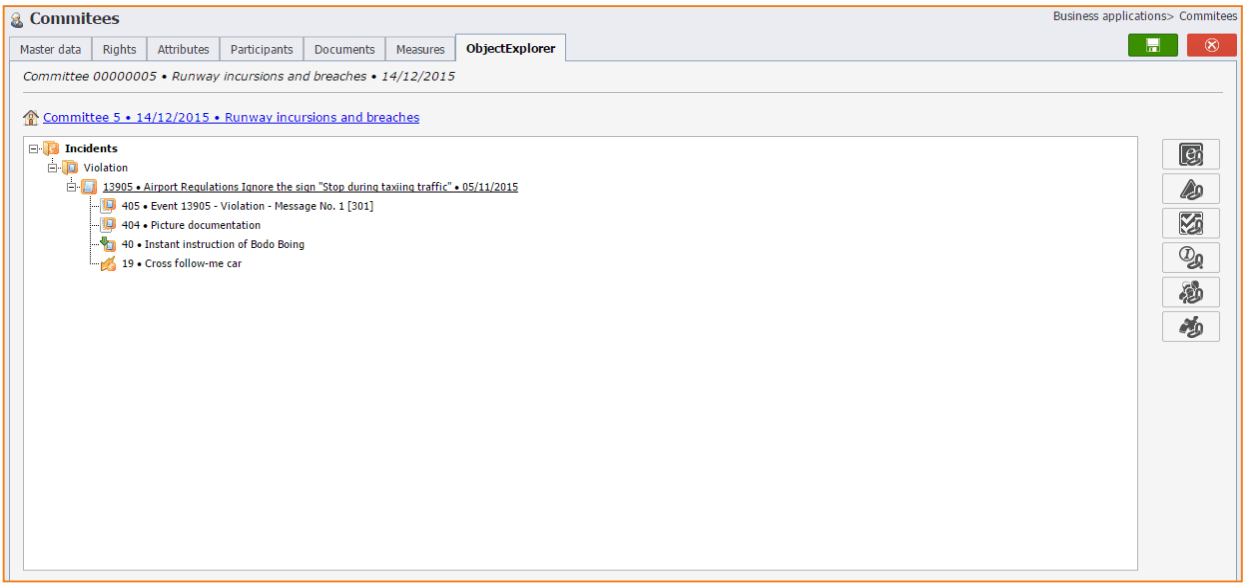
15.15 Objekt-Explorer

If semantic overlaps are identified with other objects recorded in the system, they can be permanently and thus reproducibly recorded in the system.

Bi-directional linking of the objects variations, consequences and reduction measures with...

- ...other eForms – e.g. with material damage attributable to a violation
- ...processes – e.g. in the case of a violation against a process description
- ...risks – e.g. if the violation is relevant for risk assessment
- ...inspections – e.g. if the violation gives rise to an inspection
- ...committee meetings – e.g. if the risk assessment of the meeting participant appears advisable
- ...audits – e.g. if the prevention of the violation is to be the focus of a future self-inspection

In the following example, violation 15583 has been linked with the committee meeting of the "Runway and Movement Committee (RMC)" on 15.12.2015. The documents recorded and measures defined are available bi-directionally, provided that there is the appropriate authorisation.



16 Form letter generator

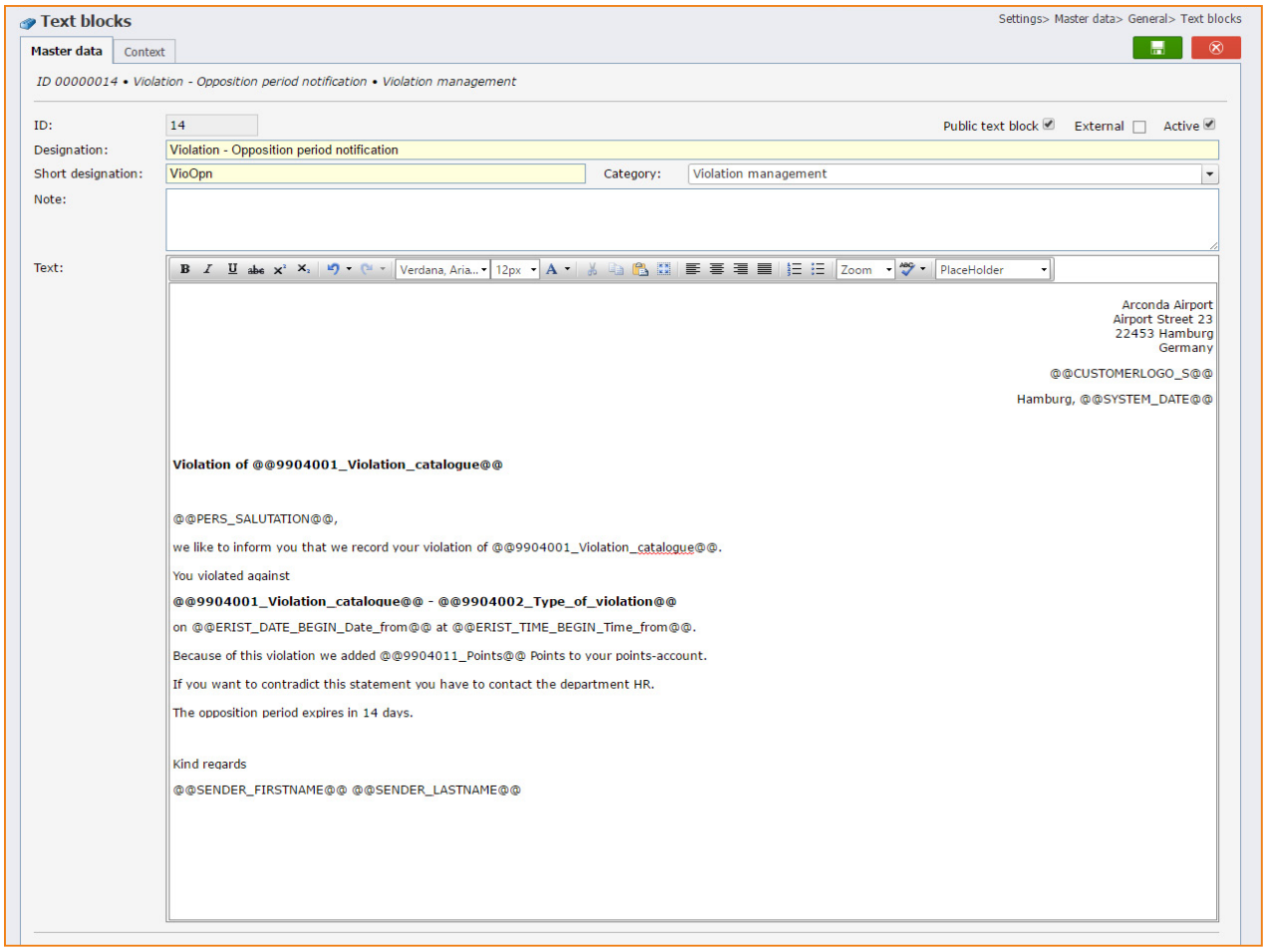
eControl supports the violation representative in the generation of standard letters.

With the eControl form letter manager, reusable standard letters can be created, whose freely definable parameters enable form content with regard to

- Violations
- Consequences and
- Reduction measures

to be used.

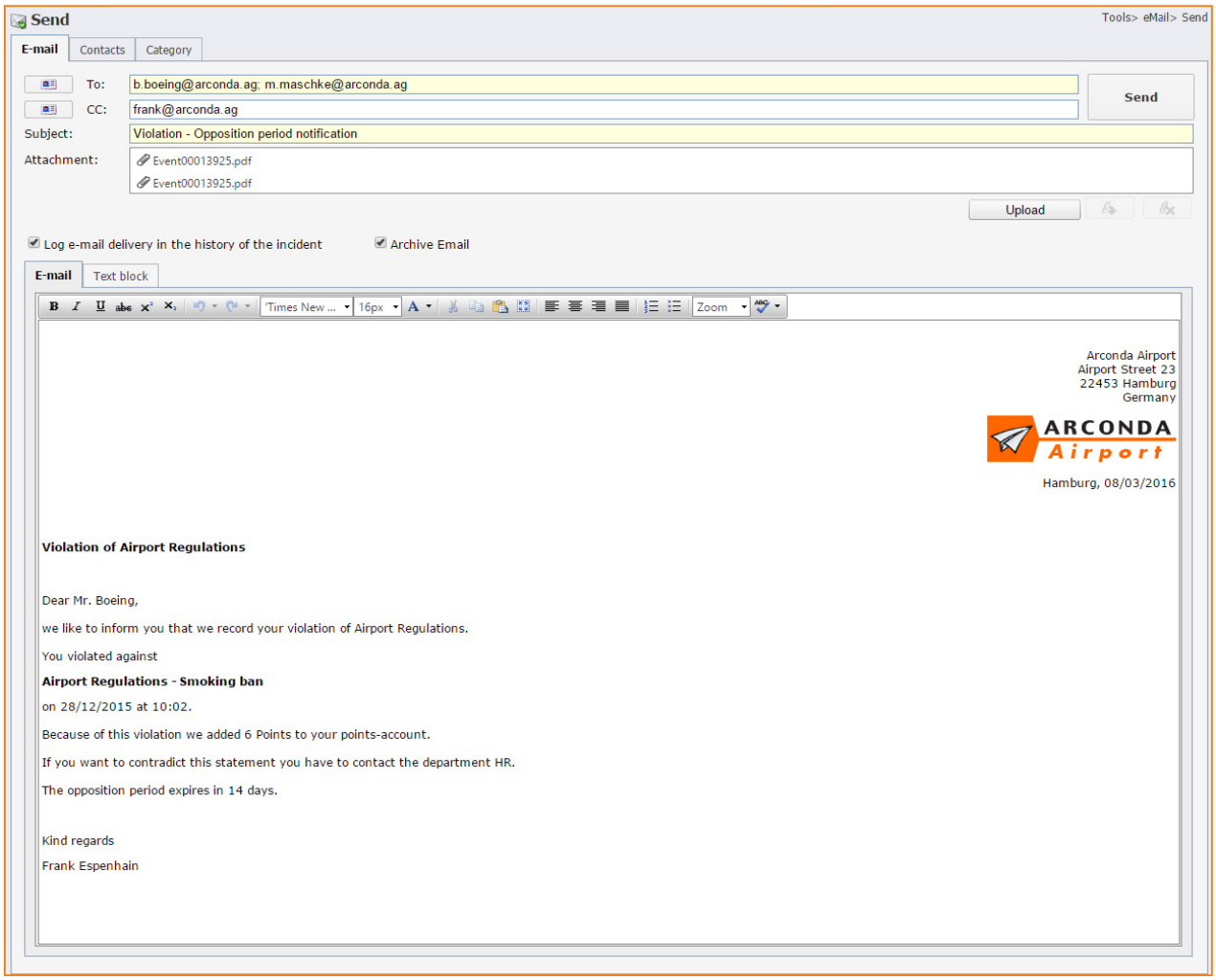
The content of the form letters can be classified, so that their use can be clearly organised. In general, form letters - provided that there is the appropriate authorisation – can be privately or globally stored. Private form letters are available exclusively to the author, whilst global form letters can be used by all users.



The violation representative (VR) can select a pre-defined form letter in the e-mail dialogue at any time and dynamically enter the current process information. This form letter can be individually edited on request prior to dispatch.

The standard system provides for a correspondence via e-mail, whereby the **person responsible (PR)** or the designated **line manager (LM)** is automatically proposed as recipient.

For the definition of hierarchical relationships, please refer to section „15.6.5 Employee hierarchies“.



The dispatch of the form letter is recorded as standard in the history of violation events. In this way it can be easily understood, who has received which letter and with which form content.

The form letter itself is also recorded in the process-specific document archive. (see section 15.10 “Document management”)

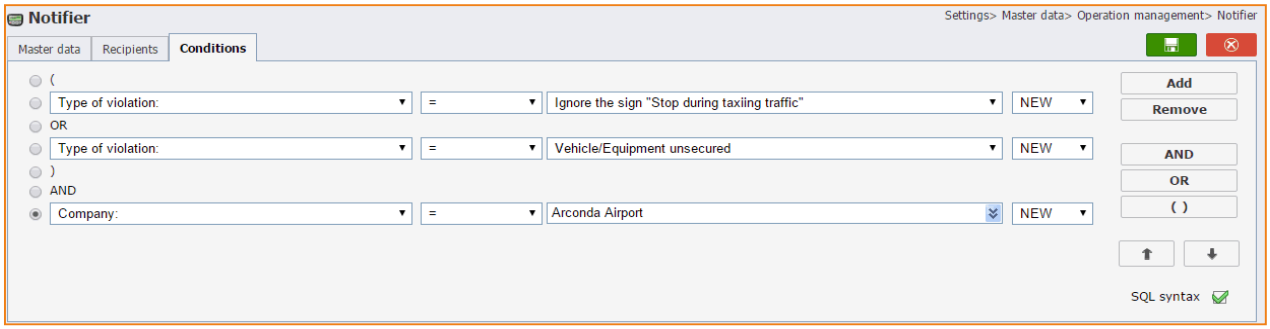
17 eControl notifier - e-mail alerts

The eControl notifier is a freely configurable rule-based notification system, which provides for automated e-mail dispatch depending on form content.

In the context of violation management, automated e-mail notifications could for example be sent to the **violation representative (VR)** when a violation is captured by a person with **regulatory responsibility (PRR)** or after the expiry of the appeal period. Safety management notifications would also be possible depending on the violation catalogue, the violation type, the company affiliation of the person responsible or a combination of this or other form content.

The eControl notifier has a fully automatic push functionality, which notifies those involved in the process of the need for action.

The background service of the notifier sends e-mails to a freely configurable group of recipients, which contain a link giving them direct entry into eControl and enabling them to open the violation automatically, provided that the recipient has the appropriate access permissions.



18 eForm: Consequences

The entry of consequences is essential to prove compliance with violation management processes. If a points threshold has been reached due to an effective violation, a consequence must be initiated and enforced by the violation representative (VR). This process is documented in the eForm "Consequences".

When a new consequence is recorded, the system independently suggests all violations for which a threshold has been exceeded, but for which no consequence has yet been recorded and which therefore requires action.

After selecting a violation, the HR master data are pre-set with the associated person. Then the threshold and the consequence provided by the system are pre-set by the system. If necessary, other consequences can also be selected, provided that they are considered against the background of the relevant legal framework.

For the sake of completeness, it must be noted that several thresholds can be triggered by a violation, which have consequences of varying magnitude – in this case the violation representative will actively select the consequence that includes all threshold excesses.

The definition of threshold values is described in chapter „12. Administration of threshold values“ and the standardisation of consequences is described in section „12.1 Consequence master data“.

Further explanations relating to the consequence can be recorded, for example explanations of the violation committee justifying the consequence. An outline of the documentation of the imposed consequence in the data field "Processing information" is documented in the inspection report "Violation process verification" – here the violation representative should always document how evidence can be provided that the consequence has actually been imposed.

Any documents relating to this can also be recorded in the document archive.

At this point the appeal has documentary status. If the legal framework of the organisation provides for appeals against consequences, these appeals must be settled before the effective consequence is entered in the system.

Incidents

Incidents

Incident | Map | List of breaches | Documents | iERC | Measures | Rights | METAR | ObjectExplorer

ID:New **Violation - consequence**

Title: Drive, Daniel, Retraining

Location: Arconda Airport

Report: Ground

Start Date / time: 01/01/2016 / 15:23 End Date / time: / Responsible: Espenhain, Frank

Show extended parameters... Priority: undefined Status: Registration Release: Seen:

FNo In / FNo Out: / Location:

Aircraft / Reg: /

Triggering violation

Violation: Drive, Daniel; 13935, Apron Regulation Park or hold in roll areas

Threshold: 15; 12; Retraining

Personnel information

Personnel ID:	17	Name:	Drive	First name:	Daniel
Personnel number:	AA-121	ID number		Affiliation:	External, no eControl User
Expand		Gender:	male	Language/Country:	English / Great Britain

Consequence imposed by

Imposed on: 01/01/2016 Imposed by: Mr. Airbus

Consequence

Consequence: Retraining

Duration of the consequence [months]:

Justification:

Implementation note:

In effect from: 01/01/2016 In effect to: 15/01/2016

Appeal information

Appeal status: Not appealed

Account information

Violation catalogue	Account			Points index global	
	Count	Points		Count	Points
Airport Regulations					
Violations	1	2		1	1
Point reductions or violation free time frame	0	0		0	
Consequences	0			0	
Catalogue balance		**2**			
Analysis of consequences Airport Regulations					
Retraining, if 15 points in 12 months months		Currently: 2			
Loss of Apron Driver Licence, if 20 points in 12 months months		Currently: 2			
Loss of Apron Driver Licence, if 30 points in 24 months months		Currently: 2			
Apron Regulation					
Violations	2	16		2	16
Point reductions or violation free time frame	0	0		0	
Consequences	1			1	
Catalogue balance		**16**			
Analysis of consequences Apron Regulation					
Retraining, if 15 points in 12 months months		**Currently: 16 Threshold reached**			
Loss of Apron Driver Licence, if 20 points in 12 months months		Currently: 16			
Global					
Violations				3	17
Point reduction				0	
Consequences				1	

19 eForm “Points redurction”

The eForm “Points reduction” documents points reduction measures in which the relevant persons have participated.

The entry of points reduction measures is the responsibility of the violation representative (VR) and can only be done with the “Evaluate violations” permission.

The violation representative (VR) must formally enter reduction measures, so that they can reduce the violation account of the person. Reduction measures are neither violation or threshold-related, but can be taken by every person in order to reduce points balances. The selection of a threshold in the data field “In the context of the threshold” serves as a reminder for the violation representative, by noting in respect of which potential threshold a preventive reduction measure has been taken.

The master data of the reduction measures (see section 12.2 “Administration of points reduction master data”) specifies by how many points an account is reduced by a reduction measure. A validity period can also be specified here.

It must be noted that when points accounts are automatically adjusted, reduction measures do not give rise to negative points balances – if, after the acquisition of a new apron driving permit all previous violations have to be removed, a reduction measure must be created with “9999” reduction points, in order to guarantee that the points incurred for all violations have been removed.

The data field “Expires on” is filled by the background service, which monitors the validity period of violations and reduction measures.

Incidents

Incidents

Incident | Map | List of breaches | Documents | iERC | Measures | Rights | METAR | ObjectExplorer

ID:New **Violation - points reduction**

Title: Airport Regulations Retraining Airport Regulations

Location: Arconda Airport

Report: Ground

Start Date / time: 23/02/2016 /

End Date / time: /

Responsible: Espenhain, Frank

Show extended parameters...

Priority: undefined

Status: Registration

Release:

Seen:

FNo In / FNo Out: /

Location:

Aircraft / Reg: /

Violation catalog: Airport Regulations

In context of the threshold: 15; 12; Retraining

Reduction measure: Retraining Airport Regulations

Note:

Points index violation catalogue: 10

Points index global: 8

Personnel information

Search

Personnel ID: 11

Name: Lee

First name: Tim

Personnel number: -

ID number AA-TL-98

Affiliation: Internal, eControl User

Expand

Gender: male

Language/Country:

Point reduction implementation

Implementation note:

Expires on:

Account information

Violation catalogue	Account			Points index global	
	Count	Points		Count	Points
Airport Regulations					
Violations	7	30		7	27
Point reductions or violation free time frame	1	-10		1	
Consequences	1			1	
Catalogue balance		**20**			
Analysis of consequences Airport Regulations					
Retraining, if 15 points in 12 months months		**Currently: 19**	**Threshold reached**		
Loss of Apron Driver Licence, if 20 points in 12 months months		Currently: 19			
Loss of Apron Driver Licence, if 30 points in 24 months months		Currently: 20			
Apron Regulation					
Violations	2	7		2	7
Point reductions or violation free time frame	0	0		0	
Consequences	0			0	
Catalogue balance		**7**			
Analysis of consequences Apron Regulation					
Retraining, if 15 points in 12 months months		Currently: 2			
Loss of Apron Driver Licence, if 20 points in 12 months months		Currently: 2			
Safety Regulations					
Violations	0	0		0	0
Point reductions or violation free time frame	0	0		0	
Consequences	0			0	
Catalogue balance		**0**			
Analysis of consequences Safety Regulations					
Retraining, if 15 points in 12 months months		Currently: 0			

20 Background services

eControl facilitates the work of the violation representative with different services that should be summarised again at this point.

eControl notifier notification service

The eControl notifier notification service sends push notifications in the system to the violation representative (VR), safety management and other organisational units involved.

The notifier service permanently analyses new and processed violations, consequences and reduction measures and assesses whether rules apply that allow the system to inform pre-defined groups of recipients fully automatically with e-mails, that their involvement in the processing sequence is displayed.

Limitation service

The limitation service assesses whether the period of violations and reduction measures has been exceeded and automatically enters the end of the period. From this point in time the lapsed violations and reduction measures are no longer considered when determining current points balances.

It is easy to adapt the limitation service to individual legal frameworks – e.g. if there are further constraints to be taken into consideration with regard to violation limitation periods.

Violation-free period assessment service

The assessment service for violation-free periods runs permanently in the background to monitor whether any new violations have occurred in defined periods, and provides for the automatic entry of account-related reduction measures.

It is easy to adapt the limitation service to individual legal frameworks.

21 Reporting

In general, the standard eControl instruments are available for the analysis and reporting of violations. These instruments comprise trend analyses, indicator analyses, frequency distributions, time distributions, risk analyses, etc..

eControl also provides special violation reports and statistics, in order to make the day-to-day business of the violation representative easier.

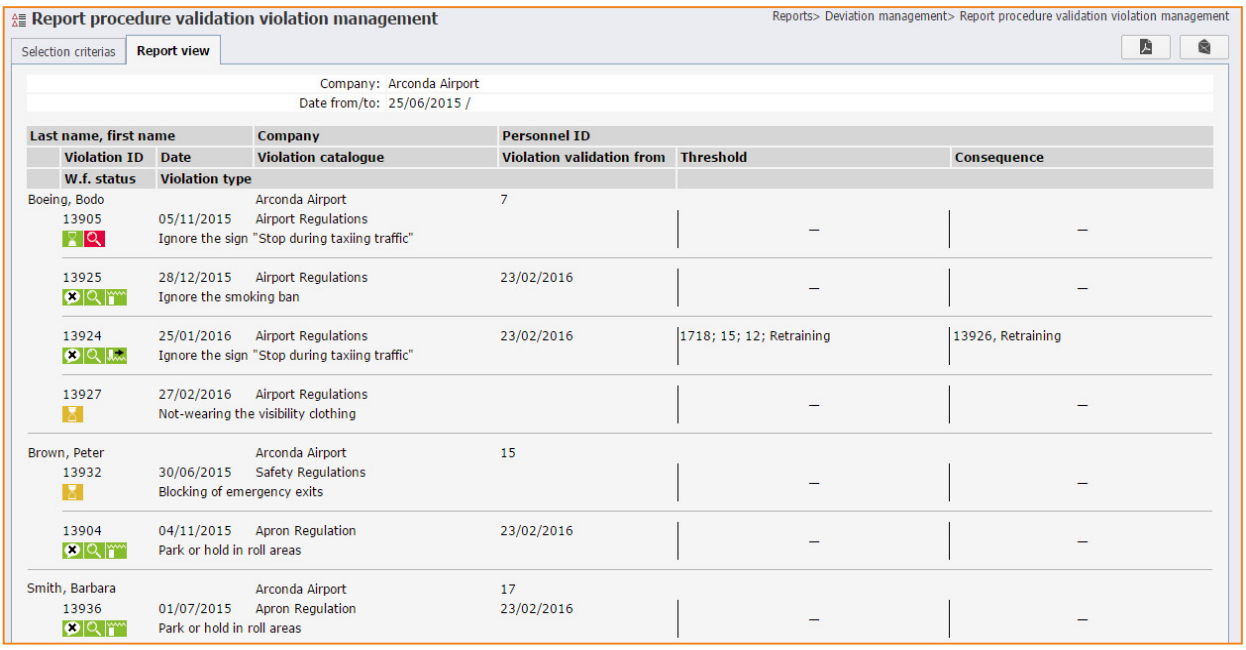
21.1 Report procedure validation violation management

When verifying processes, it is necessary to distinguish between personalised and process-specific violations. A functioning management process for process-specific violations cannot be verified by means of a standardised report.

eControl provides a number of statistics and trend analyses, with which supposed correlations between processes, framework conditions and violations can be verified. The preventive measures initiated are traceably documented with eControl measure management. The effectiveness of these measures implemented by the violation representative, safety management or other specialised departments can then be verified by comparing statistical indicators before and after the implementation of the measures.

The "Report procedure validation violation management" is designed to verify personalised violations. These are verified when, and only when violations trigger thresholds on the basis of account balances, which lead to the introduction of consequences. In addition, references for consequences are cited, with which enforcement can be verified.

The "Report procedure validation violation management" requires the violation representative (VR) to have the user right "Evaluate violations".


Report procedure validation violation management

Reports> Deviation management> Report procedure validation violation management

Selection criterias | Report view

Company: Arconda Airport
Date from/to: 25/06/2015 /

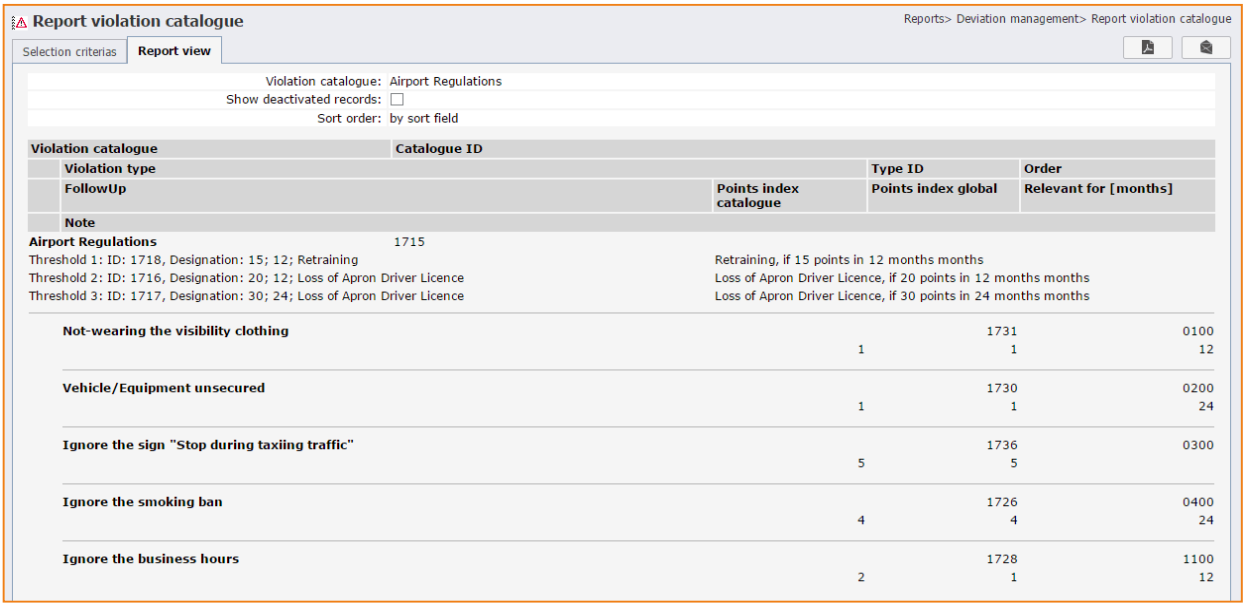
Last name, first name	Company	Personnel ID		
Violation ID / Date / W.f. status	Violation catalogue / Violation type	Violation validation from	Threshold	Consequence
Boeing, Bodo	Arconda Airport	7		
13905 / 05/11/2015 / Ignore the sign "Stop during taxiing traffic"	Airport Regulations		–	–
13925 / 28/12/2015 / Ignore the smoking ban	Airport Regulations	23/02/2016	–	–
13924 / 25/01/2016 / Ignore the sign "Stop during taxiing traffic"	Airport Regulations	23/02/2016	1718; 15; 12; Retraining	13926, Retraining
13927 / 27/02/2016 / Not-wearing the visibility clothing	Airport Regulations		–	–
Brown, Peter	Arconda Airport	15		
13932 / 30/06/2015 / Blocking of emergency exits	Safety Regulations		–	–
13904 / 04/11/2015 / Park or hold in roll areas	Apron Regulation	23/02/2016	–	–
Smith, Barbara	Arconda Airport	17		
13936 / 01/07/2015 / Park or hold in roll areas	Apron Regulation	23/02/2016	–	–

21.2 Report violation catalogue

The “Report violation catalogue” report refers to the currently valid violation types grouped according to violation catalogues.

The “Report violation catalogue” report is available company-wide and documents the valid legal frameworks for the person with regulatory responsibility (PRR), violation representative (VR), person responsible (PR) and line manager (LM).

The “Report violation catalogue” report contains master data and can be called up by all users without specific user rights.a



Report violation catalogue

Reports> Deviation management> Report violation catalogue

Selection criterias | Report view

Violation catalogue: Airport Regulations
Show deactivated records: ☐
Sort order: by sort field

Violation catalogue	Catalogue ID			
Violation type			Type ID	Order
FollowUp		Points index catalogue	Points index global	Relevant for [months]
Note				
Airport Regulations	1715			
Threshold 1: ID: 1718, Designation: 15; 12; Retraining		Retraining, if 15 points in 12 months months		
Threshold 2: ID: 1716, Designation: 20; 12; Loss of Apron Driver Licence		Loss of Apron Driver Licence, if 20 points in 12 months months		
Threshold 3: ID: 1717, Designation: 30; 24; Loss of Apron Driver Licence		Loss of Apron Driver Licence, if 30 points in 24 months months		
Not-wearing the visibility clothing		1	1731 1	0100 12
Vehicle/Equipment unsecured		1	1730 1	0200 24
Ignore the sign "Stop during taxiing traffic"		5	1736 5	0300
Ignore the smoking ban		4	1726 4	0400 24
Ignore the business hours		2	1728 1	1100 12

21.3 Violations account illustration

The “Violations account information” report provides a brief illustration for personalised violation management.

In addition to a summary of all violations, threshold excesses, consequences and reduction measures in chronological order, the report assesses the current account balances for each violation account.

The “Violations account illustration” report can be used, for example, in order to provide the violation committee with an overview of the person responsible.

The “Violations account illustration” report is available if, and only if the user has the user right “Violations account illustration”.

Violations account information

Reports> Deviation management> Violations account information

Selection criterias | **Report view**

Personnel

Name:	**Boeing**	*First name:*	**Bodo**	*Title:*	
Personnel ID:	7	*Personnel number:*	AA-007	*Gender:*	male
Company:	Arconda Airport	*Department:*	Ramp Services	*Affiliation:*	Internal
Location:	Arconda Airport	*Phone:*		*E-mail:*	b.boeing@arconda.ag
Language:	English	*Country:*			

Violations, consequences and point reductions in chronological order

Date	ID	Type	Violation catalogue	Violation type	W.f. status	Points	valid to	significant	Account Global
27/02/2016	13927	Violation	Airport Regulations	Not-wearing the visibility clothing		1 *(1)*	27/02/2017	1 *(1)*	*23*
10/02/2016	13926	Consequence	Airport Regulations	Retraining					
		Threshold:	15; 12; Retraining			*from violation:* 13924			
25/01/2016	13924	Violation	Airport Regulations	Ignore the sign "Stop during taxiing traffic"		12 *(12)*	-	12 *(12)*	*23*
28/12/2015	13925	Violation	Airport Regulations	Ignore the smoking ban		6 *(6)*	28/12/2017	6 *(6)*	*11*
05/11/2015	13905	Violation	Airport Regulations	Ignore the sign "Stop during taxiing traffic"		5 *(5)*	-	5 *(5)*	*5*
04/01/2015	13914	Violation	Airport Regulations	Not-wearing the visibility clothing		2 *(2)*	04/01/2016	-	

Violation catalogue	Account			Points index global	
	Count	Points		Count	Points
Airport Regulations					
Violations	3	23		3	23
Point reductions or violation free time frame	0	0		0	
Consequences	0			0	
Catalogue balance		**23**			

Analysis of consequences Airport Regulations

Retraining, if 15 points in 12 months months	**Currently: 23** **Threshold reached**
Loss of Apron Driver Licence, if 20 points in 12 months months	**Currently: 23** **Threshold reached**
Loss of Apron Driver Licence, if 30 points in 24 months months	Currently: 23

Global		
Violations	3	23
Point reduction	0	
Consequences	0	

21.4 Violations list view

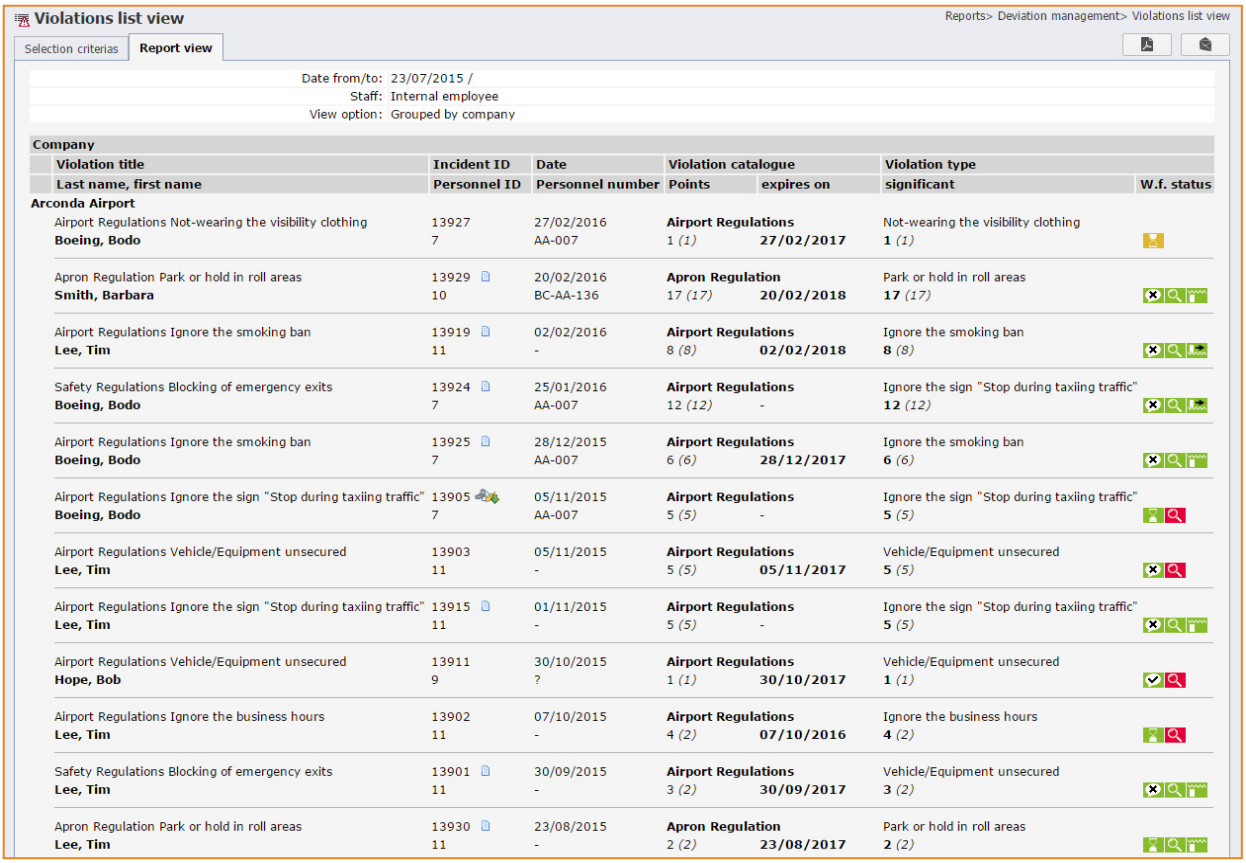
The "Violations list view" report can be used for both personalised and process-specific violations.

The "Violations list view" report lists violations grouped according to the following categories, and can thus answer a wide variety of company-specific and organisational questions:

- "Company"
- "Company" and "Department"
- "Company", "Department" and person
- "Violation catalogue"
- "Violation catalogue" and "Violation type"

The "Violations list view" report does not require any special user right – however, the report only displays the violations to which the user has access.

The person with regulatory responsibility (PRR) can therefore give a summary of the violations that he himself has documented.



Violations list view — Reports> Deviation management> Violations list view

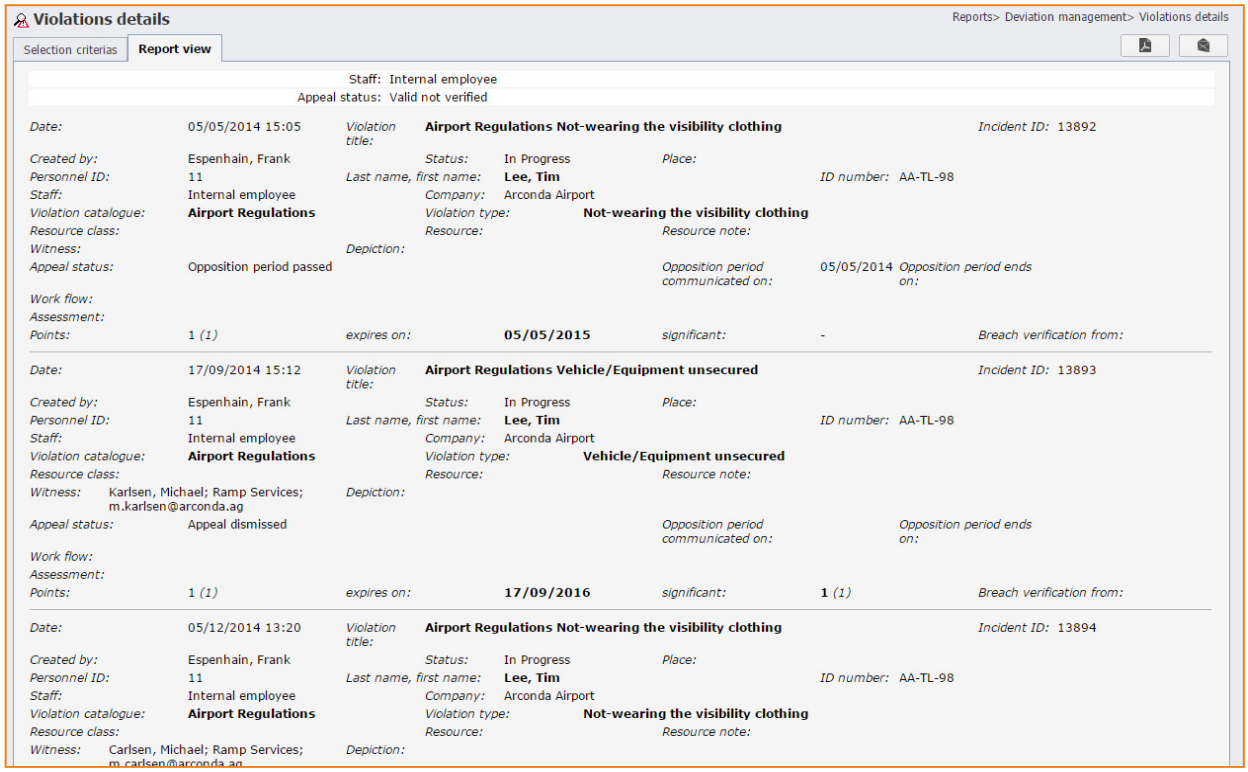
Selection criterias | **Report view**

Date from/to: 23/07/2015 /
Staff: Internal employee
View option: Grouped by company

Company / Violation title / Last name, first name	Incident ID / Personnel ID	Date / Personnel number	Violation catalogue / Points	expires on	Violation type / significant	W.f. status
Arconda Airport						
Airport Regulations Not-wearing the visibility clothing **Boeing, Bodo**	13927 7	27/02/2016 AA-007	**Airport Regulations** 1 *(1)*	**27/02/2017**	Not-wearing the visibility clothing **1** *(1)*	
Apron Regulation Park or hold in roll areas **Smith, Barbara**	13929 10	20/02/2016 BC-AA-136	**Apron Regulation** 17 *(17)*	**20/02/2018**	Park or hold in roll areas **17** *(17)*	
Airport Regulations Ignore the smoking ban **Lee, Tim**	13919 11	02/02/2016 -	**Airport Regulations** 8 *(8)*	**02/02/2018**	Ignore the smoking ban **8** *(8)*	
Safety Regulations Blocking of emergency exits **Boeing, Bodo**	13924 7	25/01/2016 AA-007	**Airport Regulations** 12 *(12)*	-	Ignore the sign "Stop during taxiing traffic" **12** *(12)*	
Airport Regulations Ignore the smoking ban **Boeing, Bodo**	13925 7	28/12/2015 AA-007	**Airport Regulations** 6 *(6)*	**28/12/2017**	Ignore the smoking ban **6** *(6)*	
Airport Regulations Ignore the sign "Stop during taxiing traffic" **Boeing, Bodo**	13905 7	05/11/2015 AA-007	**Airport Regulations** 5 *(5)*	-	Ignore the sign "Stop during taxiing traffic" **5** *(5)*	
Airport Regulations Vehicle/Equipment unsecured **Lee, Tim**	13903 11	05/11/2015 -	**Airport Regulations** 5 *(5)*	**05/11/2017**	Vehicle/Equipment unsecured **5** *(5)*	
Airport Regulations Ignore the sign "Stop during taxiing traffic" **Lee, Tim**	13915 11	01/11/2015 -	**Airport Regulations** 5 *(5)*	-	Ignore the sign "Stop during taxiing traffic" **5** *(5)*	
Airport Regulations Vehicle/Equipment unsecured **Hope, Bob**	13911 9	30/10/2015 ?	**Airport Regulations** 1 *(1)*	**30/10/2017**	Vehicle/Equipment unsecured **1** *(1)*	
Airport Regulations Ignore the business hours **Lee, Tim**	13902 11	07/10/2015 -	**Airport Regulations** 4 *(2)*	**07/10/2016**	Ignore the business hours **4** *(2)*	
Safety Regulations Blocking of emergency exits **Lee, Tim**	13901 11	30/09/2015 -	**Airport Regulations** 3 *(2)*	**30/09/2017**	Vehicle/Equipment unsecured **3** *(2)*	
Apron Regulation Park or hold in roll areas **Lee, Tim**	13930 11	23/08/2015 -	**Apron Regulation** 2 *(2)*	**23/08/2017**	Park or hold in roll areas **2** *(2)*	

21.5 Violations details

The "Violations details" report provides a detailed illustration of the most important violation-relevant data fields. It does not require any special user right – however, it only displays the violations to which the user has access.



Violations details — Reports> Deviation management> Violations details

Selection criterias | **Report view**

Staff: Internal employee
Appeal status: Valid not verified

Date:	05/05/2014 15:05	*Violation title:*	**Airport Regulations Not-wearing the visibility clothing**				*Incident ID:* 13892
Created by:	Espenhain, Frank	*Status:*	In Progress	*Place:*			
Personnel ID:	11	*Last name, first name:*	**Lee, Tim**		*ID number:*	AA-TL-98	
Staff:	Internal employee	*Company:*	Arconda Airport				
Violation catalogue:	**Airport Regulations**	*Violation type:*	**Not-wearing the visibility clothing**				
Resource class:		*Resource:*		*Resource note:*			
Witness:		*Depiction:*					
Appeal status:	Opposition period passed			*Opposition period communicated on:*	05/05/2014	*Opposition period ends on:*	
Work flow:							
Assessment:							
Points:	1 *(1)*	*expires on:*	**05/05/2015**	*significant:*	-		*Breach verification from:*

Date:	17/09/2014 15:12	*Violation title:*	**Airport Regulations Vehicle/Equipment unsecured**				*Incident ID:* 13893
Created by:	Espenhain, Frank	*Status:*	In Progress	*Place:*			
Personnel ID:	11	*Last name, first name:*	**Lee, Tim**		*ID number:*	AA-TL-98	
Staff:	Internal employee	*Company:*	Arconda Airport				
Violation catalogue:	**Airport Regulations**	*Violation type:*	**Vehicle/Equipment unsecured**				
Resource class:		*Resource:*		*Resource note:*			
Witness:	Karlsen, Michael; Ramp Services; m.karlsen@arconda.ag	*Depiction:*					
Appeal status:	Appeal dismissed			*Opposition period communicated on:*		*Opposition period ends on:*	
Work flow:							
Assessment:							
Points:	1 *(1)*	*expires on:*	**17/09/2016**	*significant:*	**1** *(1)*		*Breach verification from:*

Date:	05/12/2014 13:20	*Violation title:*	**Airport Regulations Not-wearing the visibility clothing**				*Incident ID:* 13894
Created by:	Espenhain, Frank	*Status:*	In Progress	*Place:*			
Personnel ID:	11	*Last name, first name:*	**Lee, Tim**		*ID number:*	AA-TL-98	
Staff:	Internal employee	*Company:*	Arconda Airport				
Violation catalogue:	**Airport Regulations**	*Violation type:*	**Not-wearing the visibility clothing**				
Resource class:		*Resource:*		*Resource note:*			
Witness:	Carlsen, Michael; Ramp Services; m.carlsen@arconda.ag	*Depiction:*					

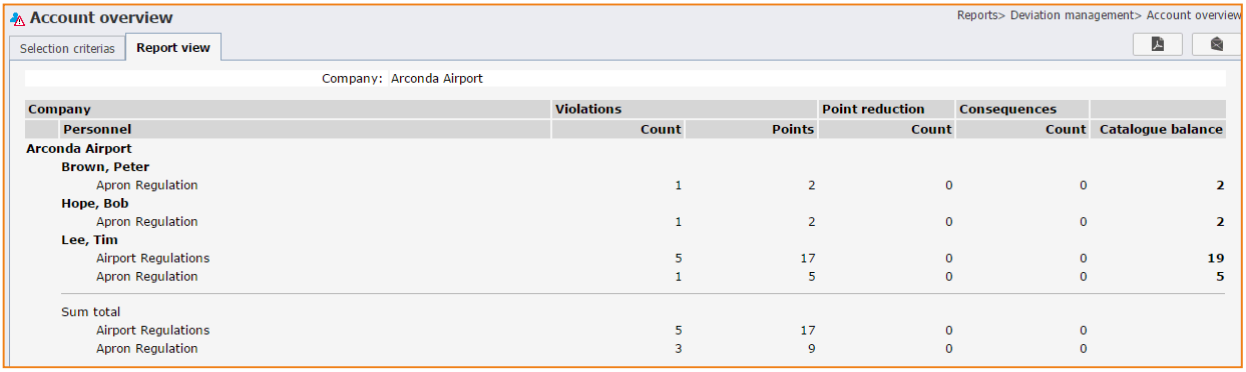
21.6 Account overview

The statistic "Account overview" refers to the account balances for each person and violation catalogue.

This illustration provides a general overview of each company, taking account of both personalised and anonymous or process-specific violations.

The Account overview is designed for the cross-company comparison of violations or for the overall evaluation of a third-party company.

The "Account overview" report requires the violation representative to have the user right "Evaluate violations".



Account overview

Reports> Deviation management> Account overview

Selection criterias | Report view

Company: Arconda Airport

Company	Violations		Point reduction	Consequences	
Personnel	Count	Points	Count	Count	Catalogue balance
Arconda Airport					
Brown, Peter					
Apron Regulation	1	2	0	0	**2**
Hope, Bob					
Apron Regulation	1	2	0	0	**2**
Lee, Tim					
Airport Regulations	5	17	0	0	**19**
Apron Regulation	1	5	0	0	**5**
Sum total					
Airport Regulations	5	17	0	0	
Apron Regulation	3	9	0	0	

21.7 Reduction measure list view

The "Reduction measure list view" report contains a summary of all reduction measures.

The following display options can be selected:

- Reduction measures grouped according to violation catalogue
- Reduction measures grouped according to company

The report "Reduction measure list view" requires no special user right – however, the report only displays the reduction measures to which the user has at least read access.

Reduction measures list view

Reports> Deviation management> Reduction measures list view

Selection criterias | **Report view**

View option: Reduction measures grouped by violation catalogue

Violation catalogue						
Reduction measure	**Incident ID**	**Date**	**Threshold**			
Last name, first name	**Personnel ID**	**Company**	**Personnel number**	**Points**	**expires on**	**significant**
Airport Regulations						
Retraining Airport Regulations	13923	01/02/2016 10:00	15; 12; Retraining			
Smith, Barbara	10	Arconda Airport	BC-AA-136	10 (8)	**01/02/2018**	**10 (8)**
Retraining Airport Regulations	13947	25/07/2015 10:49	15; 12; Retraining			
Airbus, Aribert	8		?	10 (8)	**25/07/2017**	**10 (8)**
Retraining Airport Regulations	13953	05/05/2015 11:00	30; 24; Loss of Apron Driver Licence			
Drive, Daniel	17	Arconda Airport	AA-121	10 (8)	**05/05/2017**	**10 (8)**
Retraining Airport Regulations	13945	28/12/2014 10:44	20; 12; Loss of Apron Driver Licence			
Consultant Joness, Richard	12	M2P Consulting	AA-E-214	10 (8)	**28/12/2016**	**10 (8)**
Retraining Airport Regulations	13957	09/08/2013 11:24	15; 12; Retraining			
Sender, Jill	18	Arconda Airport	AA-159	10 (8)	**09/08/2015**	-
Apron Regulation						
Seminar Apron Safety	13928	17/12/2015 14:39	15; 12; Retraining			
Hope, Bob	9	Arconda Airport	?	15 (10)	-	-
Seminar Apron Safety	13952	20/02/2015 10:57	15; 12; Retraining			
Brown, Peter	15	Arconda Airport	AA-178	15 (10)	-	-
Safety Regulations						
Participation in Safety Instructions	13946	25/04/2015 10:46	15; 12; Retraining			
Lee, Tim	11	Arconda Airport	-	8 (8)	**25/04/2017**	**8 (8)**
Participation in Safety Instructions	13954	15/10/2013 11:02	15; 12; Retraining			
Brown, Peter	15	Arconda Airport	AA-178	8 (8)	**15/10/2015**	-

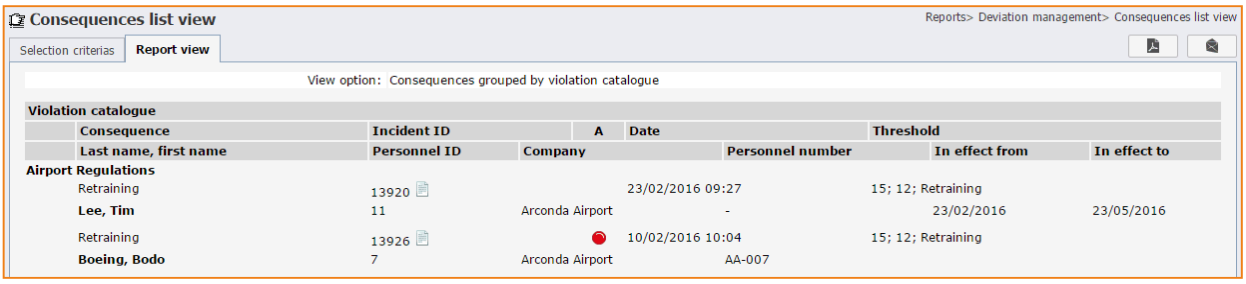
21.8 Consequences list view

The "Consequences list view" report contains a summary of all consequences.

The following display options can be selected:

- Consequences grouped according to violation catalogue
- Consequences grouped according to company

The report "Consequences list view" requires no special user right – however, the report only displays the reduction measures to which the user has at least read access.

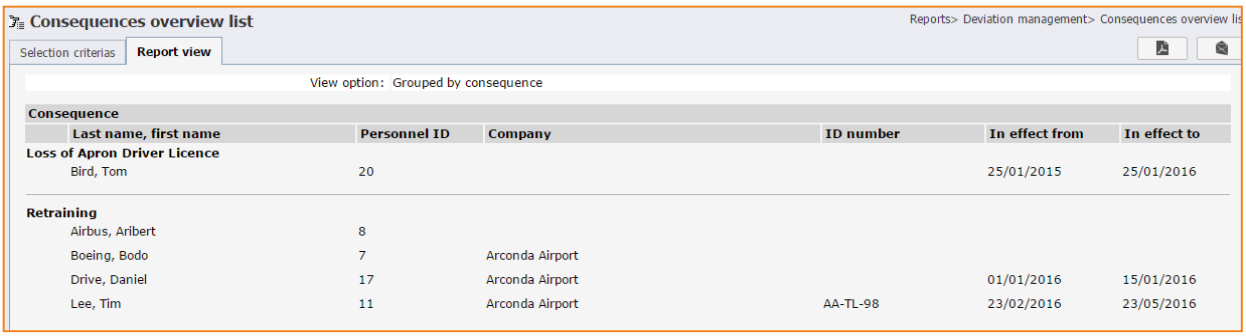


21.9 Consequences overview list

The "Consequences overview list" provides an outline of the consequences that have been imposed for a definable period of time.

The "Consequences overview list" can be generated for all consequences without restriction, provided that the user has the "Evaluate violations" user right. If this is not the case, consideration must be given to whether individual permissions have been allocated to individual consequences. If the logged-on user has the relevant user right, a consequence list can be generated for all consequences of this type.

The permission procedure has been implemented in order to grant organisational units access to driving ban decisions, access controls, etc., without the need for extensive access permissions to violation management.



Consequences overview list

Reports> Deviation management> Consequences overview lis

Selection criterias | Report view

View option: Grouped by consequence

Consequence	Last name, first name	Personnel ID	Company	ID number	In effect from	In effect to
Loss of Apron Driver Licence						
	Bird, Tom	20			25/01/2015	25/01/2016
Retraining						
	Airbus, Aribert	8				
	Boeing, Bodo	7	Arconda Airport			
	Drive, Daniel	17	Arconda Airport		01/01/2016	15/01/2016
	Lee, Tim	11	Arconda Airport	AA-TL-98	23/02/2016	23/05/2016

22 eControl mobile

eControl mobile is a mobile application for Windows-based tablet computers with touch screen. It provides the person with regulatory responsibility (PRR) with a form especially optimised for the mobile quick capture of violations.

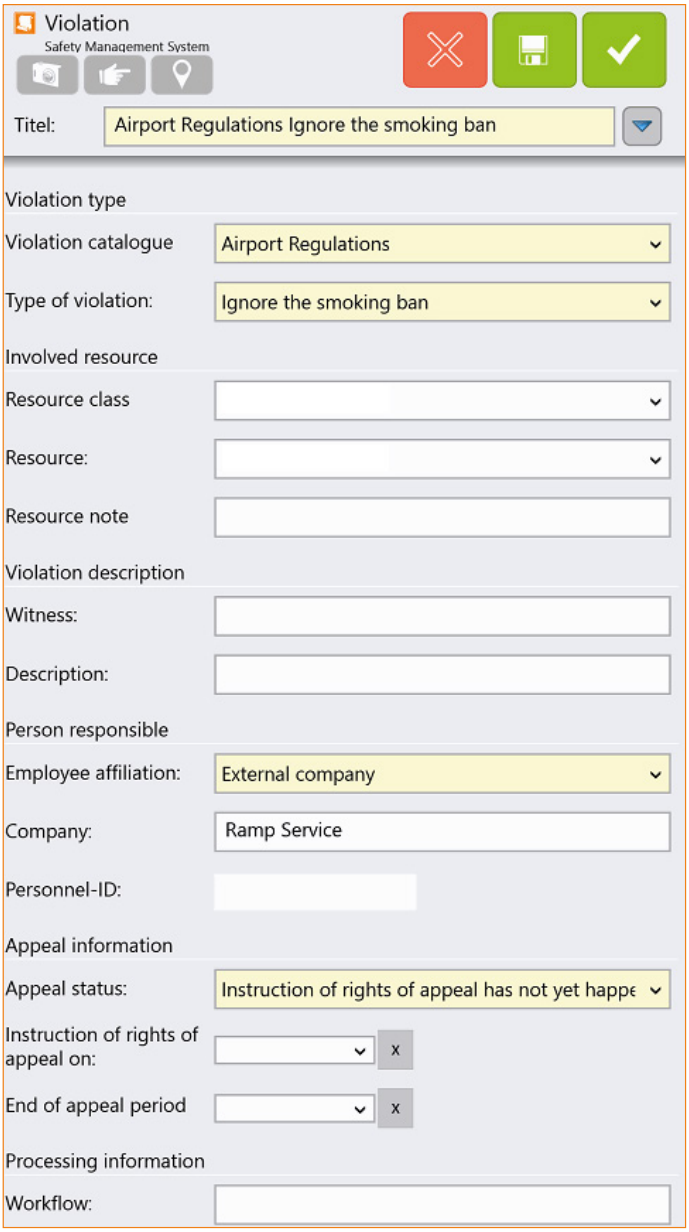
The mobile violation form enables both online and offline access to HR and equipment master data.

Personalised account balances (see section 15.7 "Account information in the violation dialogue") and summaries of imposed consequences, such as driving bans for example, can be called up at any time online depending on the individual permission of the mobile user.

eControl mobile is described below in summary form – for more detailed information, refer to the separate documentation provided.

- **Process management with eControl mobile**
  - Paperless quick capture of violations (eForms and routine inspections)
  - Data capture of violations online and offline
  - Mobile quick capture of violations at the scene of the incident and prompt uploading for processing by the violation representative
  - Notifier integration (e-mail alerts) for violations captured by a mobile device
  - Legally watertight data capture according to eControl system standard by Window and Oracle authentication
- **Data protection and data security**
  - Optional Windows authentication for reliable data capture in multi-user mode according to Windows safety standard
  - Continuous audit trail for violations initially captured by a mobile device
- **Ergonomics and ease of capture**
  - Optimised screen design for ergonomic and consequently error-free and authentic data capture
  - Optimal screen use irrespective of the screen diagonals of the mobile device due to portrait and landscape orientation
  - Caching and interruption of mobile recording processes
- **Mobile (image) documentation**
  - Support of camera function of mobile device for simplified image documentation
  - Version management and data protection for documents captured by a mobile device
- **(Immediate) measures**
  - Documentation of immediate measures and introduction of preventive and corrective measures, involvement of other organisational units (see section 15.11 "Measures")
  - Root cause analysis
- **GPS positioning**
  - Use of GPS module of mobile device to locate eForms and routine inspections
  - Projection of location on as many customer-specific calibrated maps as desired, e.g. for the mapping of floors
  - Unlimited spatial analysis of mobile and all other eForms and routing inspections with eControl

- **TECHNIPRL SPECIFIPRTION**
  - Hardware-independent system – eControl mobile is a software product
  - Operating system Windows 8.1 Professional or higher
  - Suitable for software distribution
  - Can be integrated in as many hardened client configurations as desired
  - Offline operation with asynchronous data communication, unlimited capture volumes
  - Reliable data transfer via package transfer
  - Scalable system that can be used in dispersed locations as desired



eControl

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

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