



# Compliance

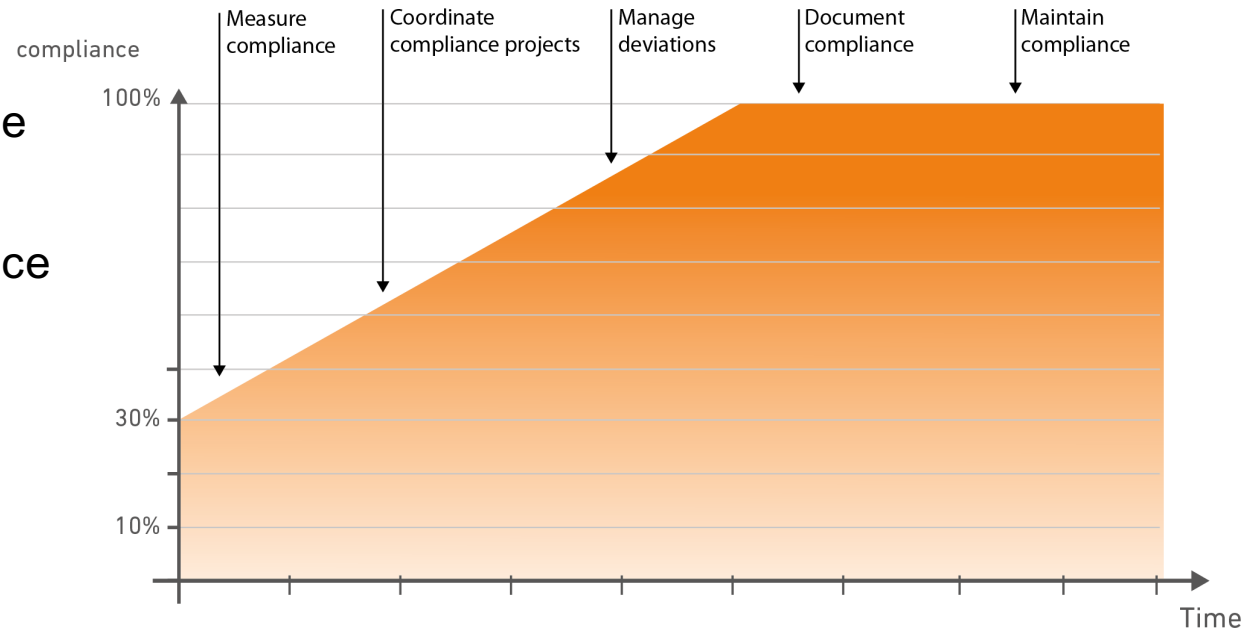
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- 1 Organisation ⇔ n Regulations (ICAO Annex 14, EU 139/2014)
  - Airports
  - Airlines
  - Operators
  - Flight schools
  - Maintenance
  - ....
  
- Competent authorities
  - n Airports ⇔ m Regulations
  
- Organisations on regulated markets

## 2. Compliance Cycle

- Measure/determine level of compliance
- Coordinate compliance project
- Manage deviations
- Document compliance
- Keeping up compliance



- Management of all regulations in just one software
- Laws, regulations, decrees, standards, guidelines, etc.
- Freely definable regulations
  - Outlining levels
  - Include requirements
  - Sub-requirements
- Customer can create and edit regulations
- Arconda Systems provides essential regulations (EU 139/2014, ICAO Annex 14 etc.), various regulations available

- LOG ON, personal individual no group logon
- Tiles, Windows 8 Desktop like, fully customizable
- Hierarchical Structure expand & collapse
- EASA Structure 139/2014
  - OPS/OR
    - Requirements
      - ⇒ Subrequirements
      - ⇒ AMCs(optional Part 1-n)
      - ⇒ GM (optional Part 1-n)
  - C/S
    - Requirements
      - ⇒ Subrequirements
      - ⇒ GM (optional Part 1-n)

- Workflow control by data fields
  - Define required datafields for specific use
  - Attributes structured in categories
- Data fields fully customizable
- Access permissions configurable per data field and user
- All data fields are searchable and printable
- Immediately deployable standard workflow (out of the box)

# 4. Data Fields and Workflow

## Screenshot

Process 7 Attributes 1 Versions Documents Measures History ObjectExplorer << >> Rights

Process 09947391 • Width of taxiways • Order CS ADR-DSN.D.245

☐ Show only used attributes ☐ Show detailed information

**EASA Compliance**

|                          |  |                           |   |
|--------------------------|--|---------------------------|---|
| EASA Node type           |  | Condition                 | ▼ |
| EASA Certification Basis |  | Yes                       | ▼ |
| EASA Applicability       |  | Yes                       | ▼ |
| EASA Condition Status    |  | Sub-conditions in process | ▼ |

**EASA Compliance Proof**

|                              |  |                             |   |
|------------------------------|--|-----------------------------|---|
| EASA Compliance Proof        |  |                             | / |
| EASA Compliance Proof Status |  | insufficient, not completed | ▼ |

**EASA Compliance Correction Possibilities**

|   |  |      |   |
|---|--|------|---|
| EASA Deviation Correction possibilities |  | open | ▼ |
| EASA Deviation Description              |  |      | / |
| EASA Deviation Measures                 |  |      | / |

**EASA Compliance Validation**

|   |  |  |   |
|---|--|--|---|
| EASA Validation Organizational Unit               |  |  | ▼ |
| EASA Validation Coordination Competent Department |  |  | / |
| EASA Validation Coordination Date                 |  |  | / |

**EASA Compliance Proof Procedure**

|                                 |  |      |   |
|---------------------------------|--|------|---|
| EASA Authority Detection Method |  | open | ▼ |
| EASA Authority Note             |  |      | / |

**EASA Compliance Release**

|                                  |  |  |   |
|----------------------------------|--|--|---|
| EASA Release Organizational Unit |  |  | ▼ |
| EASA Release Date                |  |  | / |

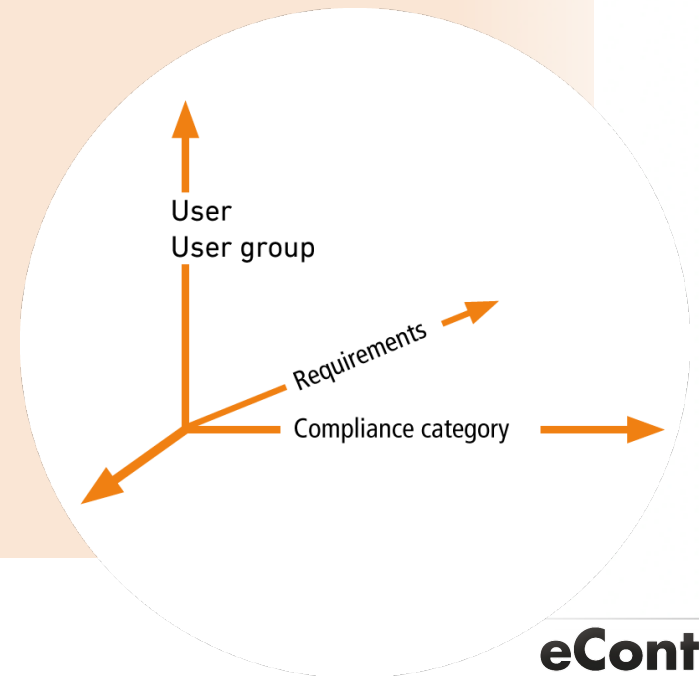


## 4. Data Fields and Workflow

### Demo Workflow

- (1) Project set-up
- (2) Verification of relevance and definition of specialised departments
- (3) Coordination of non-relevant requirements with the authority
- (4) Researching relevant documents by the specialised departments
- (5) Analysing the documentation regarding the requirements by the specialized departments
- (6) Global documents
- (7) Non-compliance situations
- (8) Evaluation of evidence for each requirement
- (9) Transfer of compliance information to the competent authority by the Project office
- (10) Final coordination with the competent authority

- Tabpage „Attributes“
- Overview master data ⇒ REP Process attributes structure
- Master data Compliance
  - Workflow/content structure
  - Authorization system
- Master data process attributes
  - Text (4k characters)
  - (Freely definable) selection list
  - Date
  - Numeric data fields
  - Example NEW „Completion Date“



## 5. Compliance Project Coordination

- Implementation of a company-wide division of labor Compliance Management
- Establishment of working groups
- Assigning compliance categories to the working groups (initial assessment, testing, release, ...)
- Assigning responsibility for (parts of) requirements
- Optimal use of employee skills
- Prevention of personnel or time constraints / bottlenecks, Analysis of critical requirements

- Authorization
  - For each requirement: authorization tabpage “Rights”
    - Category
    - User/Usergroup
    - Read/Write
  - Group of requirements / „batch“ authorization
    - Authorization management
- Organizational assignment / tabpage „Attributes“
  - Datafield EASA Validation Organizational Unit
  - Datafield EASA Release Organizational Unit

- No compliance without documented proof!
- Centralized, enterprise-wide available archive for documents and linked resources
- Easy navigation within an archive of unlimited size
- n documents for each (sub-) requirement
- n versions for each document
- Access permissions adjustable for each document and user
- Linking multiple requirements with a central document of proof

# 6. Document Archive

1 2 3 4 5 6 7 8 9 10 11 12

## Screenshot

Process 09947391 • Width of taxiways • Order CS ADR-DSN.D.245

Process 7 Attributes 1 Versions Documents Measures History ObjectExplorer Rights

☐ Show deactivated documents  
☐ Show release history  
☐ Show only checkedout documents  
☒ Group documents by category  
☐ Show documents from downstream nodes

General documents  
ID 09947391  
Linked documents  
Processes  
10525 GB0100, Airport Manual  
391 Airport Usage Regulations - Update 2015  
392 Main Document  
393 Organizational Chart

**Document 00000392** Release state: 1 Checked in ☒ Active ☒

Compliance reference: Process master data

Title: Main Document

Category: Manuals

Keywords: Arconda Airport

Note:

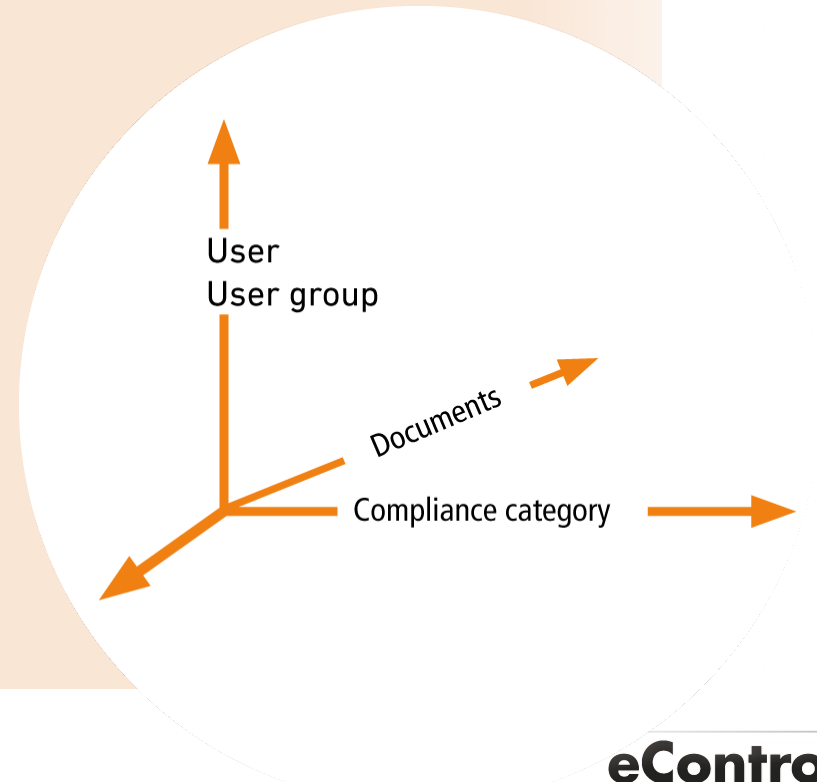
Source file: Airport Manual Main Document.docx (00010071\_001.docx)

Created on/by: 12/01/2016 15:16, FRANK  
Changed on/by: 12/01/2016 15:16, FRANK

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- Tabpage „documents“
- Adding a document
  - Category
  - Meta-data
- Versioning the document
- Global documents
- Integrated authorization system
- Multiple use of documents
  - Audits, incidents, investigations



- Example for a possible query:  
„Filter all requirements of EU 139/2014
  - Which belong to work package 34 (and)
  - Which are applicable (and)
  - For which no documents of proof have been filed yet
  - ((and) (or) (and))...
- Easy to use, universally applicable
- Queries can be reused
- Queries can be saved and made available for other users
- The same query generator user interface for edit dialogues, reports and statistics



# 7. Query Generator

## Screenshot

**Process management** Business applications > Process management

Search

0 EASA

- ADR COMMISSION REGULATION (EU) No 139/2014 AM/GM
- ADR-DSN CERTIFICATION SPECIFICATIONS AND GUIDANCE MATERIAL FC
- ADR-DSN.A. CHAPTER A — GENERAL
- ADR-DSN.B. CHAPTER B — RUNWAYS
- ADR-DSN.C. CHAPTER C — RUNWAY END SAFETY AREA
- ADR-DSN.D. CHAPTER D — TAXIWAYS
  - CS ADR-DSN.D.240 Taxiways general
  - CS ADR-DSN.D.245 Width of taxiways
  - CS ADR-DSN.D.250 Taxiways curves
  - CS ADR-DSN.D.255 Junction and intersection of taxiways
  - CS ADR-DSN.D.260 Taxiway minimum separation distance
  - CS ADR-DSN.D.265 Longitudinal slopes on taxiways
  - CS ADR-DSN.D.270 Longitudinal slope changes on taxiways
  - CS ADR-DSN.D.275 Sight distance of taxiways
  - CS ADR-DSN.D.280 Transverse slopes on taxiways
  - CS ADR-DSN.D.285 Strength of taxiways
  - CS ADR-DSN.D.290 Surface of taxiways
  - CS ADR-DSN.D.295 Rapid exit taxiways
  - CS ADR-DSN.D.300 Taxiways on bridges
  - CS ADR-DSN.D.305 Taxiway shoulders
  - CS ADR-DSN.D.310 Taxiway Strip
  - CS ADR-DSN.D.315 Width of taxiway strips
  - CS ADR-DSN.D.320 Objects on taxiway strips
  - CS ADR-DSN.D.325 Grading of taxiway strips
  - CS ADR-DSN.D.330 Slopes on taxiway strips
  - CS ADR-DSN.D.335 Holding bays, runway-holding positions, intern
  - CS ADR-DSN.D.340 Location of holding bays, runway-holding posi

**Selection criteria** Pool

Process: ADR-DSN.D. CHAPTER D — TAXIWAYS

☐ Show inactive processes

**Conditions** SQL

☒ EASA Condition Status = Sub-conditions in process **Add**

☐ AND **Remove**

☐ EASA Applicability = Yes **AND**

**OR**

**( )**

**Save condition** ☐ Global

Name: Taxiways in progress

Info: Applicable taxiway requirements in progress and not approved yet

Category:

Subcategory:

Title:

Created on/by:

Changed on/by:

SQL syntax ☒

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## 7. Query Generator

- Data field ⇔ operator ⇔ value
- Syntax check of expressions by database
- Save query with documentation
- Global and private queries
- Start menu tile – combine query and menu item
- SQL

## 8. Manage Deviations

- Classify deviations  
e.g. ELoS, DAAD, SC, AltMoC
- Specific authorization for viewing and editing of deviation related data fields
- Deviation reporting
- Risk classification of deviation

- Prepared Datasheets in „CA-Style“
  - BMVI (Germany), BAZL (Switzerland)
- enable process attributes ⇒ Tabpage rights
- Enter data
- Filter deviations
- Deviation reporting ⇒ process paper
- Risk management (optional module)

## 9. Create and Export Proof of Compliance

- For authorities, other 3rd parties, external use, etc.
- Proof consists of requirements, data fields and documents
- Output as PDF-Report
- Output as ZIP-archive including selected documents of proof
  - No limit reg. size
  - Provision proof as a download (e.g. via Dropbox)
- Export fully audited in the audit log
  - When? By whom? Which version? etc..

# 9. Create and Export Proof of Compliance

1 2 3 4 5 6 7 8 9 10 11 12

## Screenshot

Process paper

Reports> Process management> Process paper

Selection criteria Report view

001 Process Structure

- 0 EASA
  - ADR COMMISSION REGULATION (EU) No 139/2014 AM/GM
    - ADR-DSN CERTIFICATION SPECIFICATIONS AND GUIDANCE MATERIAL FOR
      - ADR-DSN.A. CHAPTER A — GENERAL
      - ADR-DSN.B. CHAPTER B — RUNWAYS
      - ADR-DSN.C. CHAPTER C — RUNWAY END SAFETY AREA
      - ADR-DSN.D. CHAPTER D — TAXIWAYS
        - CS ADR-DSN.D.240 Taxiways general
          - CS ADR-DSN.D.240 / (a) Taxiways general / (a)
          - GM1 ADR-DSN.D.240 / (a) Taxiways general / (a)
          - GM1 ADR-DSN.D.240 / (b) Taxiways general / (b)
          - GM1 ADR-DSN.D.240 / (c) Taxiways general / (c)
          - GM1 ADR-DSN.D.240 / (d) Taxiways general / (d)
          - GM1 ADR-DSN.D.240 / (e) (1) Taxiways general / (e) (1)
          - GM1 ADR-DSN.D.240 / (e) (2) Taxiways general / (e) (2)
          - GM1 ADR-DSN.D.240 / (e) (3) Taxiways general / (e) (3)
          - GM1 ADR-DSN.D.240 / (f) Taxiways general / (f)
          - GM1 ADR-DSN.D.240 / (g) Taxiways general / (g)
          - GM1 ADR-DSN.D.240 / (h) (1) Taxiways general / (h) (1)
          - GM1 ADR-DSN.D.240 / (h) (10) Taxiways general / (h) (10)
          - GM1 ADR-DSN.D.240 / (h) (11) Taxiways general / (h) (11)
          - GM1 ADR-DSN.D.240 / (h) (12) Taxiways general / (h) (12)
          - GM1 ADR-DSN.D.240 / (h) (13) Taxiways general / (h) (13)
          - GM1 ADR-DSN.D.240 / (h) (14) Taxiways general / (h) (14)
          - GM1 ADR-DSN.D.240 / (h) (2) Taxiways general / (h) (2)
          - GM1 ADR-DSN.D.240 / (h) (3) Taxiways general / (h) (3)
          - GM1 ADR-DSN.D.240 / (h) (4) Taxiways general / (h) (4)
          - GM1 ADR-DSN.D.240 / (h) (5) Taxiways general / (h) (5)
          - GM1 ADR-DSN.D.240 / (h) (6) Taxiways general / (h) (6)
          - GM1 ADR-DSN.D.240 / (h) (7) Taxiways general / (h) (7)

Selection criteria Report scope Pool

View option: Process sheet

PDF-Title: Process sheet

Show attributes: ☒

Show documents: ☒

Show measures: ☒

Show Object Explorer links: ☒

Show process versions: ☒

Show administrative informations: ☐

Compliance reference

Attributes, documents and measures with the following compliance reference will be taken into account

- ☒ Selected process
  - ☒ EASA Compliance
    - ☒ EASA Node type
    - ☒ EASA Certification Basis
    - ☒ EASA Applicability
    - ☒ EASA Condition Status
  - ☒ EASA Compliance Proof
    - ☒ EASA Compliance Proof Status
  - ☒ EASA Compliance Correction Possibilities
    - ☒ EASA Deviation Correction possibilities
  - ☒ EASA Compliance Proof Procedure
    - ☒ EASA Authority Detection Method

Documents

- ☐ CS ADR-DSN.D.240Taxiways general
- ☐ Hierarchical downstream processes
- ☒ Linked documents

- Answering any questions reg. Compliance management at the touch of a button
- Individual scope of the reports
- Use saved queries
- Save report settings
- Publish status reports for 3rd parties at the touch of a button
- Export as PDF or Excel file

- Status report
  - Overview process attributes
    - Taxiways
      - ⇒ EASA Condition Status, EASA Compliance Proof Status, EASA Validation Organizational Unit
    - Save including filter criteria and report structure
    - Publish in start manu
- Statistic Frequency Distribution Processes
  - Management reporting



# 10. Report Generators

**Statistic Frequency Distribution Processes** Reports > Process management > Statistic Frequency Distribution Processes

**Selection criteria** Report view

**001 Process Structure**

- 0 EASA
  - ADR-DSN.D. CHAPTER D — TAXIWAYS
    - CS ADR-DSN.D.240 Taxiways general
    - CS ADR-DSN.D.245 Width of taxiways
    - CS ADR-DSN.D.250 Taxiways curves
    - CS ADR-DSN.D.255 Junction and intersection of taxiways
    - CS ADR-DSN.D.260 Taxiway minimum separation distance
    - CS ADR-DSN.D.265 Longitudinal slopes on taxiways
    - CS ADR-DSN.D.270 Longitudinal slope changes on taxiways
    - CS ADR-DSN.D.275 Sight distance of taxiways
    - CS ADR-DSN.D.280 Transverse slopes on taxiways
    - CS ADR-DSN.D.285 Strength of taxiways
    - CS ADR-DSN.D.290 Surface of taxiways
    - CS ADR-DSN.D.295 Rapid exit taxiways
    - CS ADR-DSN.D.300 Taxiways on bridges
    - CS ADR-DSN.D.305 Taxiway shoulders
    - CS ADR-DSN.D.310 Taxiway Strip
- 0 Global Documents
  - GD0500 Taxiways

**Selection criteria** Pool

**Report components:**

| Row attribute:               | Column attribute:                   | Representation: |
|------------------------------|-------------------------------------|-----------------|
| EASA Condition Status        |                                     | Chart           |
| EASA Condition Status        | EASA Validation Organizational Unit | Chart           |
| EASA Compliance Proof Status |                                     | Chart           |
|                              |                                     | Chart           |
|                              |                                     | Chart           |

**Report detailed information:**

- EASA Validation Organizational Unit
- EASA Compliance Proof
- EASA Organization Work Package 1
- EASA Organization Work Package 2

Process: - All -

☐ Show inactive processes

**Conditions** SQL

- ☒ EASA Node type = Requirement
- ☐ AND
- ☐ (P) Process LIKE taxiway

**Add** **Remove**

**AND** **OR** **( )**

**SQL syntax** ☒

**Save condition** ☒ Global

Name: Taxiways

Info:

Category:

Subcategory:

Title:

Created on/by:

Changed on/by:

- Who? When? Which data field? Old value? New value?
- Fully automated auditing which cannot be disabled
- Edit history for each (sub-) requirement retrievable
- Easy to read the edit history
- Different levels of information for different users

*In this context...*

- Fully automated versioning for documents – old versions do not get lost

## 12. Keeping up Compliance

- Conduct compliance audits using eControl
- Structure of compliance audits can be the same as the structure of the regulations
- Suitable for self inspections, external audits and auditing 3rd parties
- Link requirements with audit check items
- Attached documents of requirements automatically show up in linked audit check items