Compliance

Content

1. Applications / Industries

- 1 Organisation ⇔ n Regulations (ICAO Annex 14, EU 139/2014)
  - o Airports
  - o Airlines
  - o Operators
  - o Flight schools
  - o Maintenance
  - o ….

- Competent authorities
  - n Airports ⇔ m Regulations

- Organisations on regulated markets

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2. Compliance Cycle

- Measure/determine level of compliance

- Coordinate compliance project

- Manage deviations

- Document compliance

- Keeping up compliance

compliance

| Measure compliance | Coordinate compliance projects | Manage deviations | Document compliance | Maintain compliance |

100%

30%

10%

Time

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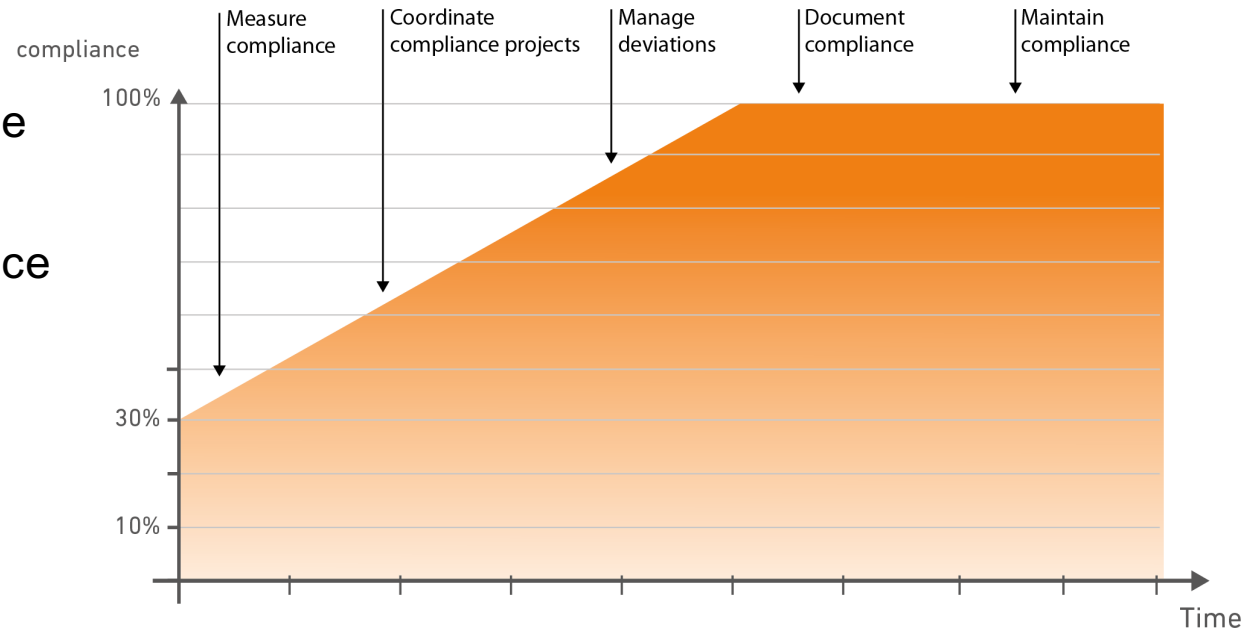
- Management of all regulations in just one software

- 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)

4. Data Fields and Workflow

- Workflow control by data fields
    - o Define required datafields for specific use
    - o 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)

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Screenshot

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

4. Data Fields and Workflow

- 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"

User
User group

Requirements

Compliance category

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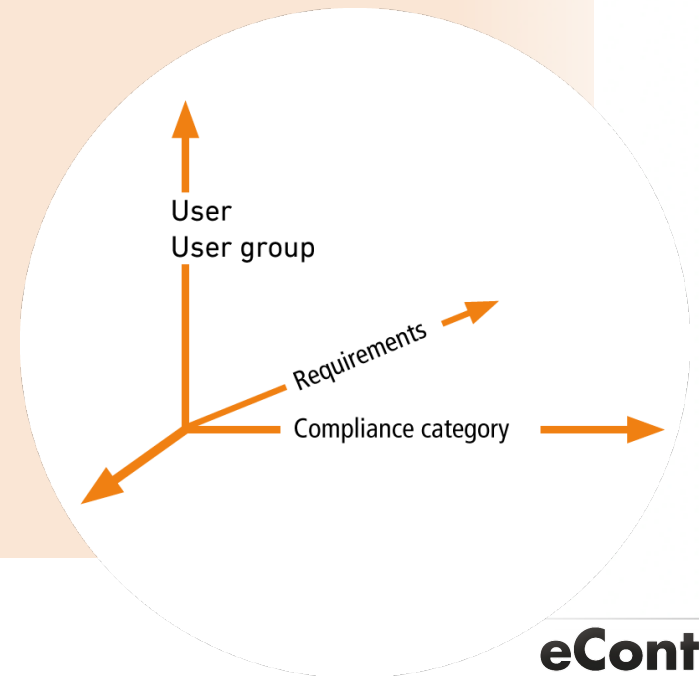
5. Compliance Project Coordination

- 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

  o For each requirement: authorization tabpage "Rights"

    • Category

    • User/Usergroup

    • Read/Write

  o Group of requirements / „batch" autorization

    • Authorization management

- Organizational assignment / tabpage „Attributes"

  o Datafield EASA Validation Organizational Unit

  o Datafield EASA Release Organizational Unit

6. Document Archive

- 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

Screenshot

6. Document Archive

- Tabpage „documents"

- Adding a document
  - Category
  - Meta-data

- Versioning the document

- Global documents

- Integrated authorization system

- Multiple use of documents
  - Audits, incidents, investigations

User
User group

Documents

Compliance category

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7. Query Generator
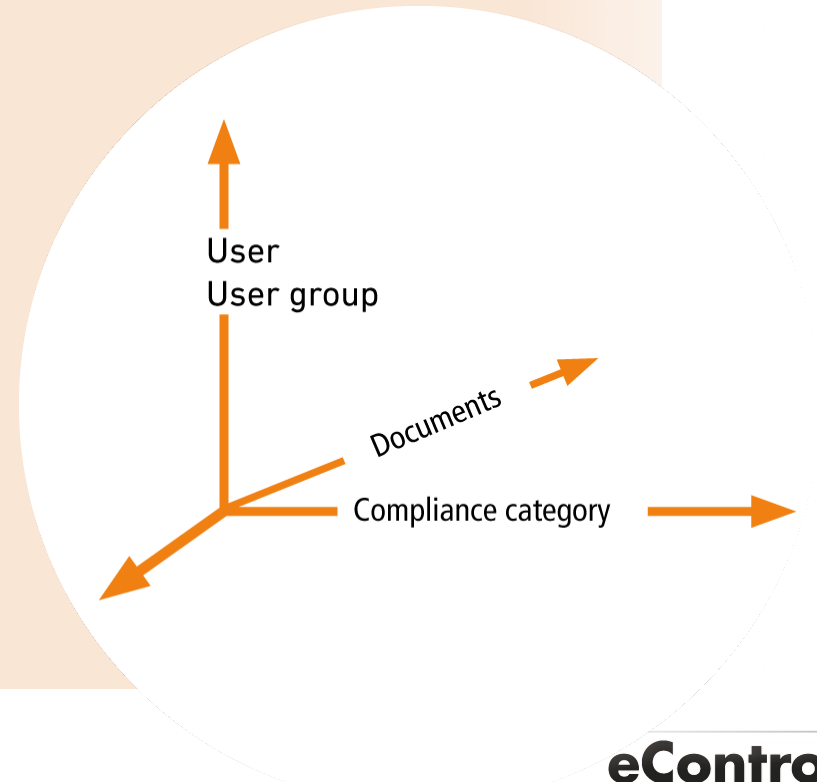
- Example for a possible query:

  „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

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Screenshot

- 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)

- 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..

Screenshot

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10. Report Generators

- 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

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- 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

11. Tamper Proof

- 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

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- 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