

2º Simpósio Internacional de Confiabilidade e Gestão de Segurança Operacional

09 a 11 de novembro de 2010



Organização Brasileira para o Desenvolvimento da Certificação Aeronáutica 2nd Simpósio Internacional de Confiabilidade e Gestão de Segurança Operacional 9 a 11 de novembro de 2010

Aerospace Practices

Eric M. Peterson Electron International, Inc. SAE S18 Co-Chairman





What is SAE S-18

Aircraft & Systems Development and Safety Assessment Committee

- Active international committee
- Representatives attend from > 25 companies and > 10 countries.

Charter

- Develop and maintain recommended practices for certification and product assurance of aircraft and systems from development and validation of requirements to verification of an implemented design.
- Develop and maintain recommended practices for accomplishing initial design and in-service safety assessments of aircraft, systems and equipment to support effective safety management.



Presentation Outline

- Document Overview and Relationships
 - ARP4754/4754A
 - ARP4761
 - ARP5150
- System Development (ARP4754)
- Safety Evaluation Methods (ARP4761)
- Monitoring Products in the Field (ARP5150)
- Closing Remarks



Recommended Practices Relationships





Overview

ARP4754/4754A

 Discusses the development, validation and verification of aircraft & systems requirements.

ARP4761

 Describes guidelines and methods of performing the safety assessment product assurance of aircraft.

ARP5150

 Describes guidelines, methods and tools used to perform the ongoing safety assessment process for transport airplanes in commercial service.

ARP5151

 Describes a process that may be used to perform the ongoing safety assessment for 1) GAR aircraft and components, & 2) commercial operators of GAR aircraft.





ARP4754

"Certification Considerations for Highly-Integrated or Complex Aircraft Systems"

ARP4754A

"Guidelines for Development of Civil Aircraft and Systems"



ARP4754 /4754A Overview

- Aerospace Recommended Practice for the development and integration of aircraft systems
- Early treatment of airplane level integration
- Original document development team (SIRT) was dissolved after release of ARP4754 in 1996
- SAE S-18 revised to ARP4754A in 2010 (publication pending)



ARP4754 Overview

- Structured Development Process
- Requirements Definition
- Introduces Development Assurance Levels
- Validation of Requirements
- Implementation Verification
- Tied to Safety Methodology (ARP4761)

1 N T 400 Con	TIONAL monwealth Drive, Warrendale, PA 15096-0001 Submitted for recognition as an American National Standard	Issued 1996-11
	CERTIFICATION CONSIDERATIONS FOR HIGHLY-INTEGRATED OR COMPLEX AIRCRAFT SYSTEMS	
	INTRODUCTION	
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ARP4754A Overview

- Structured Development Process
- **Requirements Definition**
- Introduction of Functional & Item Development **Assurance Levels**
- Validation of Requirements
- Implementation Verification
- Tied to Safety Methodology (ARP4761)

SAE	Aerospace	AEROSPACE RECOMMENDED	SAE ARP4754	REV. A
		PRACTICE	Issued 199	6-11
		FRACIL	Revised Pro 201	posed Draft C-08-31
			Superseding ARP47	754
	(R) Guide	ines for Development of Civil Arcraft	and Systems	
	(7)		,	
		RATIONALE		
This docur	ment provides updated and	expanded guidelines for the processes us	ed to develop dvil aircraf	tand systems
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	Development of Syste	en Architecture:		
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4.4	Contains Income and add			
4.4 4.5 4.6	System Impementati			

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AE WE3 ADDRESS

ARP4754 / 4754A Overview

- The Recommended Process has its roots in Systems Engineering but with an emphasis on Safety
- Calls for a Structured Process which includes Requirements Definition, Requirements Validation and Design Implementation Verification
- Describes a Top Down Development Process using Safety as the Rationale
- Increases the Role and Responsibilities of Systems Engineering at each Hierarchical Level
- Calls for improved process integration between Systems Engineering and Safety Engineering
- Difficult to apply to derivative airplane / system developments based on Minor changes to existing systems
- Results in increased exposure of Development Plans to Regulators, but allows internal processes to be used





ARP4761

"Guidelines and Methods for Conducting the Safety Assessment Process on Civil Airborne Systems and Equipment"



ARP4761 / 4761A Overview

- Aerospace Recommended Practice for performing safety assessments for civil aircraft
- Guidelines for conducting industry accepted safety assessments consisting of:
 - Functional Hazard Assessment (FHA)
 - Preliminary Safety Assessment (PSSA)
 - System Safety Assessment (SSA)
- □ SAE S-18 authored document in 1996
- □ SAE S-18 revising to ARP4761A in 2012



ARP4761/4761A Background

 Chapter 6 of ARP4754 (5.1 of ARP4754A) tells "what to do" for airplane safety assessment

ARP4761 tells "how to do it"

ARP4754 & 4761 (and revisions) were developed in parallel

Effort coordinated
 Definitions consistent
 Are to be used together

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ARP4761/4761A Document Organization





Systems Development – Safety Interrelationship



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ARP 5150

"Safety Assessment of Aircraft in Commercial Service"



ARP5150 Overview

- Developed by SAE S-18 committee
- Published in Dec 2003
- Ongoing safety assessment process for transport commercial airplanes
 - Guidelines
 - Methods
 - Tools
- Systematic process to measure and monitor safety elements to help determine safety priorities and focus resources





ARP 4754

"Certification Considerations for Highly-Integrated or Complex Aircraft Systems"

ARP 4754A

"Guidelines for Development of Civil Aircraft and Systems"



System Development (ARP4754)

Certification Considerations for Highly-Integrated or Complex Aircraft Systems"

circa 1996



- Eight years of international revision support
 - SAE S-18 (~40 members)
 - EUROCAE WG-63 (~20 members)

Guidelines for Development of Civil Aircraft and Systems" circa 2010 (publication pending by SAE/EUROCAE)



ARP4754A Book Outline

Table of Contents

- 1. Scope
- 2. References
- 3. Development Planning
- 4. Aircraft and System Development Process
- 5. Integral Processes
- 6. Modifications to Aircraft or Systems
- 7. Notes



Multiple Parallel Processes

- Input Is Intended Functions
- Process integral with ARP 4761
- Output is development rigor for HW & SW
- Output Is Functioning System





ARP4754A Planning



Objective of planning process is to define the means that will be used to produce the aircraft or system.

- Define the activities used to address the requirements, functional development assurance levels, item development assurance levels.
- Define the development life cycle including process interrelationships and transition criteria.
- Define the development standards to be used
- Define the development life cycle including methods and tools to be used for the activities in each life cycle process.



Aircraft or System Development Process Model



- Generic development process to establish a frame for discussing the process.
- Emphasis is focused on top-down development strategy since it provides the necessary links between safety and system development.
- □ No organizational structures, preferred methods or processes implied.

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System Development Process

- Process includes Top-Level Requirements
- □ Allocation To Systems
- Architecture Development
- Further Allocation To HW/SW (Items)
- System Implementation
- Parallels Safety Assessment Process





Safety Assessment Process

- Process Includes Airplane Level FHA
- Preliminary Airplane Safety Assessment
- System Level FHAs
- Preliminary System Safety Assessments
- Airplane Safety Assessment
- System Safety Assessments
- Common Cause Assessments
- Parallels System Development Process
- Processes Lead to Certification





ARP4754 Revision Change Rationale

- Initial DAL was not always based on rigorous safety analysis
- Delineation of the architectural containment boundaries were not always properly defined
- Items are not always wholly contained within the architectural boundary
- Difficult to delineate the subtleties between "independence" and "dissimilarity"
- Probabilities have often been improperly linked to development assurance levels
- □ No top level development assurance level definition
 - SAE 5 year revision cycle.



Approach to Assigning Levels

- Existing ARP4754 explicitly addresses system level (with only some mention of airplane level)
 - Level assignment/reduction applied to items defined from the at the system architecture
- Revised ARP4754A addresses airplane & system levels explicitly
 - FDAL is effectively new for the revised ARP and should be assigned to the systems from the aircraft architecture using the PASA
 - IDAL assignment should be similar to existing ARP
- Discusses "independence" rather than "dissimilarity"
- Emphasize assigning levels rather than reducing levels
 - "Reduction" is a misnomer, but arises when a function has a level lower than its parent function



Independence Attributes

□ Functional: different functions & requirements

- Common requirements errors
- Requirements interpretation errors
- Design: different designs
 - Hardware component errors
 - Software language or HDL errors
 - Requirements interpretation errors
 - Quality errors

Other: do not influence FDAL/IDAL assignment

- Physical
 - Redundancy, installation
- Process
 - Between independent designs or functions
 - Between development/design vs. verification/validation



Independence Attributes

- FDAL considers the functional independence of the aircraft (or system) functions.
- □ IDAL considers the design independence of items
- Once the IDALs are assigned to items, they should be fed back to the system and aircraft processes to ensure that no common mode is inadvertently introduced that violates any claimed functional independence.
- The assertion of independence needs to be substantiated & address potential common modes.
- One type of independence does not necessarily imply the other.



FDAL/IDAL Assignment Process

- Development Assurance Level (FDAL)
 - Assigned per Aircraft Level FHA & PASA
 - Validated per Aircraft and System level Safety Analysis
- Design Assurance Level (IDAL)
 - Assigned per System Level FHAs & PSSAs
 - Validated per System level Safety Analysis and Component Functional Failure Analysis
 - Must trace up to upper level functions' FDAL so that it is not decomposed/assigned more than once (e.g. keeps 4 Level D items from assuring a Level A function).
 - Non-complex items that are fully and deterministically tested and analyzed may be considered Level A



FDAL / IDAL Assignment





Development Assurance Levels

PSSA evaluates most severe top-level Failure Condition Classification

Top Level Failure Condition Severity Classification	Associated Top Level Function FDAL
Catastrophic	Α
Hazardous/Severe Major	В
Major	С
Minor	D
No Safety Effect	E

Assigned FDAL sets the rigor of the process



FDAL & IDAL Assignment Process

- Top down process that starts with a Failure Condition Classification for a Function.
- To be applied when developing new functions or systems.
- Allows for consideration of independence attributes to assign development assurance levels.

		DEVELOPMENT ASSURAN	NCE LEVEL
		(NOTES 2 & 4)	
TOP-LEVEL FAILURE	FUNCTIONAL FAILURE SETS	FUNCTIONAL FAILURE SETS	WITH MULTIPLE MEMBERS
CLASSIFICATION	MEMBER	OPTION 1 (NOTE 3)	OPTION 2
Column 1	Column 2	Column 3	Column 4
Catastrophic	FDAL A (NOTE 1)	FDAL A for one Member, additional Member(s) contributing to the top-level Failure Condition at the level associated with the most severe individual effects of an error in their development process for all applicable top-level Failure Conditions (but no lower than level C for the additional Members).	FDAL B for two of the Members leading to top-level Failure Condition. The other Member(s) at the level associated with the most severe individual effects of an error in their development process for all applicable top-level Failure Conditions (but no lower than level C for the additional Member(s)).
Hazardous/ Severe Major	FDAL B	FDAL B for one Member, additional Member(s) contributing to the top-level Failure Condition at the level associated with the most severe individual effects of an error in their development process for all applicable top-level Failure Conditions (but no lower than level D for the additional Members).	FDAL C for two of the Members leading to top-level Failure Condition. The other Members at the level associated with the most severe individual effects of an error in their development process for all applicable top-level Failure Conditions (but no lower than level D for the additional Members).
Major	FDAL C	FDAL C for one Member, additional Member(s) contributing to the top-level Failure Condition at the level associated with the most severe individual effects of an error in their development process for all applicable top-level Failure Conditions.	FDAL D for two of the Members leading to top-level Failure Condition. The other Members at the level associated with the most severe individual effects of an error in their development process for all applicable top-level Failure Conditions.
Minor	FDAL D	FDAL D for one Member, additional Membe Condition at the level associated with the m their development process for all applicable	er(s) contributing to the top-level Failure ost severe individual effects of an error in top-level Failure Conditions.
No Safety Effect	FDAL E	FDAL E	

NOTE 1: When a FFS has a single Member and the mitigation strategy for systematic errors is to be FDAL A alone, then the applicant may be required to substantiate that the development process for that Member has sufficient independent validation/verification activities, techniques and completion criteria to ensure that potential development error(s) having a catastrophic effect have been removed or mitigated.

NOTE 2: It is necessary to stay in the same row no matter the number of functional decompositions performed (e.g. for a Catastrophic Failure Condition any degree of decomposition from a top FDAL A FFS should include at least one FDAL A or two FDAL B Members).

NOTE 3: If there is a large disparity on the numerical availability of the Members in the Functional Failure Set, the higher level FDAL should generally be assigned to the higher availability Member.

NOTE 4: Some classes of 14CFR Part 23 /CS-23 aircraft have FDALs lower than shown in Table 3. See the current FAA AC23.1309 and equivalent EASA policy for specific guidance.



FDAL/IDAL Results

- FDAL and IDAL are based on safety analyses; do it early (and often)!
- PASA and PSSA can be used to derive requirements including FDAL/IDAL
- Development Assurance can be an enabler to focus resources on the aspects that matter most.
- The IDAL assigned per the ARP4754A process is used in the software or hardware processes.
 - Coordinated with SC-205 generation of DO-178C



Integral Processes

- Requirements Capture
- **Requirements** Validation
- **Requirements** Verification
- Configuration Management*
- Process Assurance*
- Regulatory Liaison*

* Omitted for brevity



Integral Process – Requirements Capture





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ARP4754A Requirements Capture

Common basis for integral processes.

- Requirements may be captured in many different formats but standards should be developed to establish consistency across the requirement set and ensure accurate communication across the development team;
 - Textural
 - Graphical



Integral Process – Requirements Validation

- Process for ensuring that the specified requirements are sufficiently correct and complete to meet the needs.
 - "Are we building the right thing?"
- Planned activities documented in the Validation Plan
- Requirements evaluated against various attributes -
 - Is the requirement correctly stated?
 - Is the requirement necessary for the set of requirements to be complete?
 - Is the requirement set better suited to be contained in a single requirement?
 - Does the requirement set correctly reflect the safety analyses?



Requirements Validation

- Requirements Validation Includes a Validation Plan
- Includes an Initial Validation Matrix
- Includes the Validation Activities
- □ Includes a Validation Matrix
- Completed with the Validation Summary Report





Validation Rigor

The level of validation rigor for the aircraft or system is determined by the assigned FDAL and IDAL.

Methods and Data (see 5.4.6.a-f and 5.4.7)	Development Assurance Level - A and B	Development Assurance Level - C	Development Assurance Level - D	Development Assurance Level - E
FASA/PSSA	R	R	А	N
Validation Plan	R	R	А	N
Validation Matrix	R	R	А	N
Validation Summary	R	R	А	N
Requirements Traceability (Non-Derived Requirements)	R	R	A	N
Requirements Rationale (Derived Requirements)	R	R	A	N
Analysis, Modeling, or Test	R		А	N
Similarity (Service Experience)	А	One recommended	A	Ν
Engineering Review	R		A	N

Note: R - Recommended for certification, A - As negotiated for certification, N - Not required for certification

For each requirement, a combination of the recommended and allowable methods necessary to establish the required confidence in the validation of that requirement, should be identified and then applied.



Integral Process – Requirements Verification

- Process to ascertain that the implementation meets the specified requirements.
 - "Have we built the right thing?"
- Planned activities documented in the Verification Plan
- Requirements evaluated using various methods -
 - Inspection, Reviews
 - Analyses
 - Tests
 - Service Experience



Integral Process – Requirements Verification

- Implementation Verification Includes a Verification Plan
- Includes an Initial Verification Matrix
- Includes the Verification Activities
- Includes a Final Verification Matrix
- Completed with the Verification Summary





Verification Rigor

The level of verification rigor for the aircraft or system is determined by the assigned FDAL and IDAL.

Methods and Data	Development Assurance Level				
(see paragraphs 5.5.5 and 5.5.6)	A and B	С	D	E	
Verification Matrix	R	R	A	Ν	
Verification Plan	R	R	A	Ν	
Verification Procedures	R	R	А	Ν	
Verification Summary	R	R	A	Ν	
ASA/SSA (note 3)	R	R	A	Ν	
Inspection, Review, Analysis, or Test (note 1)	R (Test and one or more of others)	R (One cr more)	A	N (note 2)	
Test, unintended function	R	A	А	Ν	
Service Experience	Α	A	А	Α	

Note: R - Recommended for certification, A - As negotiated for certification, N - Not required for certification



ARP4754A

- "Updated and expanded guidelines for the processes used to develop civil aircraft and systems."
- Layered development rigor that is now applied at the aircraft level.
- Principle based development rigor assignment (FDAL & IDAL)
- □ Reorganized to improve process and description flow.



ARP4761

"Guidelines and Methods for Conducting the Safety Assessment Process on Civil Airborne Systems and Equipment"



ARP4761 Outline/Contents

- Functional Hazard Assessment
 - Aircraft
 - System
- Safety Assessments
 - Preliminary Aircraft Safety Assessment
 - Preliminary System Safety Assessment
 - Aircraft Safety Assessment
 - System Safety Assessment
- Methods
 - Fault Tree Analysis
 - Dependency Diagrams
 - Markov Analysis
 - Failure Modes & Effects Analysis
- Common Cause Analysis
 - Particular Risk Analysis
 - Common Mode Analysis
 - Zonal Safety Analysis



Safety Assessment Process Overview





Functional Hazard Assessments

□ Airplane FHA

 Qualitative assessment which identifies & classifies the failure conditions and their severity rationale associated with aircraft level functions.

System Level FHA

 Qualitative assessment which considers single or combination of system failures that affect an aircraft function and becomes the starting point for generation and allocation of safety requirements.



System Safety Assessments

PSSA

 An iterative analysis which evaluates a proposed implementation to derive and capture system & item safety requirements, protective strategies and complete failure conditions list.

SSA

 A systematic & integrated analysis which verifies that the implemented design meets both qualitative and quantitative safety requirements.



Safety Assessment Methods

Fault Tree Analysis / Dependence Diagrams / Markov Analysis

- Top down analysis techniques to establish failure model associated with FHA failure condition.
- □ Failure Modes & Effects Analysis
 - Bottoms up method of identifying failure modes of a system, item or function.
 - Failure Modes & Effects Summary
 - Grouping of single failure modes which produce the same failure effect.



Common Cause Analyses

- Provide tools to verify independence between functions, systems, items
- Identifies individual failure modes or external events which can lead to catastrophic or hazardous/severe major failure conditions.
- Common Cause Analysis Types
 - Particular Risks Analysis (PRA)
 - Zonal Safety Analysis (ZSA)
 - Common Mode Analysis (CMA)



Particular Risk Analysis

Focus is on Airplane Architectural definition to provide mitigation for identified internal and external threats

- Accomplished through a cross-functional skill team
- □ Internal and external threats are identified:
 - Impact of Objects external to the airplane
 - Includes Bird strike
 - Impact of Objects that are part of the airplane, but not part of the system being identified
 - Uncontained Rotating Parts
 - Rotor burst
 - Flailing shaft
 - Tire and Wheel Threats



Particular Risk Analysis (continued)

Particular Risk Analysis internal and external threats identified:

- Energy Release
- Fan Blade Out/ Windmilling
- Fire/Thermal Overheat
- Fluid Spillage or Leakage
- Structural Damage
- Electromagnetic and Weather Threats



Zonal Safety Analysis

Objective - Ensure equipment installation meets safety requirements with respect to:

- Basic Installation
- Interference between systems
- Maintenance errors

ZSA accomplished by a cross-functional Team to evaluate verification activities



Example of Aircraft Zones

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Common Mode Analysis

- Primary objective is to verify independence of redundant functions:
 - Verify that ANDed events in FTA/DD/MA are truly independent
 - Some of the effects reviewed include:
 - Design implementation
 - Manufacturing Erros
 - Maintenance Errors
 - Component failures which may defeat redundant design principles

Qualitative evaluation using checklists



CMA Checklist Example

Common Mode Types	Common Mode Sources	Common Modes Failure /Errors
CONCEPT & DESIGN		•
DESIGN ARCHITECTURE	External Sources	Electrical Power Distribution failure Data Source (input) Failure
TECHNOLOGY, MATERIAL, EQUIPMENT TYPE	Redundant, Similar Hardware:	Hardware development errors Component failures Verification tools
	Redundant, Similar Software:	Software development errors Verification tools
MANUFACTURING		•
MANUFACTURER	Common manufacturer	Common manufacturing error
PROCEDURES	Common build procedure	Incorrect manufacturing procedure
PROCESS	Common build process	Incorrect manufacturing process
INSTALLATION / INTEGRATION	& TEST	
FITTER & PROCEDURES	Common installation	Incorrect installation
LOCATION & ROUTING	Common installation location	Common environmental failure
MAINTENANCE		
STAFF	Common maintenance staff	Error due to inadequately trained staff.
PROCEDURES	Common maintenance procedures	Faulty operating procedures, omission of action, etc.
TEST		
STAFF	Common test staff	Error due to inadequately trained staff.
PROCEDURES	Common test procedures	Faulty test procedures, omission of action, etc.
CALIBRATION & RIGGING		
STAFF	N/A	N/A
PROCEDURES	Common calibration & rigging procedures	Erroneous operation due to faulty calibration or rigging procedures.
ENVIRONMENTAL		
MECHANICAL & THERMAL	Temperature, vibration, pressure, humidity, moisture, etc.	Common erroneous response to environmental conditions.
ELECTRICAL & RADIATION	EME & HIRF	Common erroneous response to EME &
		HIRF environment.
CHEMICAL	Fluid contamination – fuel, coffee, blue water, etc.	Common erroneous response to fluids, chemicals, etc.
MISCELLANEOUS	NA	NA



Safety Assessment Process Diagram





ARP5150

"Safety Assessment of Transport Airplanes in Commercial Service"

ARP5151

"Safety Assessment of General Aviation Airplanes and Rotorcraft in Commercial Service"



Monitoring Products in the Field (ARP5150)

3 Safety Processes in the Operating Fleet

- Overview of the ongoing Safety Assessment Process
- 4 In-Service Data
 - Systematic view of safety information
 - Sources of safety data
- 5 Methods & Tools

- Multiple methods or tools including Root Cause, Weibull, Monte Carlo, & CAAM.
- G Being Involved in the Aviation Safety Community

An SAE International Group			lissued 2003-11	
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Overview of Ongoing Safety Assessment Process





ARP5150 Detailed Process Flow

An SAE International Group











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Closing Remarks

- ARP4754, ARP4761, ARP5150 written with aviation regulatory environment in mind but
- □ The recommended practices are based on system engineering concepts applicable to many industries.
- The methods and tools are easily transferrable to other industry areas.

These premises are supported by evidence
 ARP4761 is the 3rd best selling SAE document.



Acronym List

- □ ARP Aerospace Recommended Practice
- □ CCA Common Cause Analysis
- □ CMA Common Mode Analysis
- □ FDAL Function Development Assurance Level
- □ FHA Functional Hazard Assessment
- □ FMEA Failure Modes & Effects Analysis
- □ GAR General Aviation and Rotorcraft
- □ IDAL Item Development Assurance Level
- □ PASA Preliminary Aircraft Safety Assessment
- PRA Particular Risks Analysis
- PSSA Preliminary System Safety Assessment
- □ SAE Society of Automotive Engineers
- □ SSA System Safety Assessment
- □ WG Working Group
- □ ZSA Zonal System Analysis

