

## RA 3100 – Air Traffic Management Equipment Approved Organization Scheme

### Rationale

*Air Traffic Management (ATM)<sup>1</sup> Equipment Organizations that are contracted by the UK MOD to provide and / or install ATM Equipment<sup>2</sup>, and / or provide technical services that support ATM Equipment, are required to be approved in accordance with the ATM Equipment Approved Organization Scheme (AAOS). The AAOS is the Assurance mechanism underpinning the competence of ATM Equipment Organizations and ensures such Organizations comply with the MAA Regulatory Publications (MRP). There is a need to define AAOS processes in order to ensure that in-scope Organizations are able to meet the requirements of the AAOS. This Regulation defines the overarching AAOS processes.*

### Contents

- 3100(1): Air Traffic Management Equipment Approved Organization Scheme Application and Approval**
- 3100(2): Air Traffic Management Equipment Approved Organization Scheme Approval Changes**
- 3100(3): Air Traffic Management Equipment Organization Exposition**
- 3100(4): Air Traffic Management Equipment Approved Organization Scheme MAA Regulatory Publications Applicability**
- 3100(5): Contracted ► / Subcontracted ◀ Activities**

### Regulation 3100(1)

#### Air Traffic Management Equipment Approved Organization Scheme Application and Approval

3100(1) ATM Equipment Organizations contracted by the UK MOD **shall** be approved under the AAOS, or have a defined and agreed route to being approved under the AAOS.

### Acceptable Means of Compliance 3100(1)

#### Air Traffic Management Equipment Approved Organization Scheme Application and Approval

1. ATM Equipment Organizations **should** satisfy the MAA that it is in the UK MOD and / or National interest to include the Organization in the AAOS.
2. Applications for AAOS approval **should** be:
  - a. Made using MAA AAOS Form 2.
  - b. Supported by an appropriate endorsement of MOD<sup>3</sup> / National interest.
  - c. Supported by an ATM Equipment Organization Exposition (AOE)<sup>4</sup>.
3. To maintain AAOS Approval validity, an AAOS Organization **should**:
  - a. Comply with the MRP.
  - b. Ensure that the MAA is granted appropriate access for the purpose of determining initial and continued MRP compliance.
  - c. Ensure that the MAA has approved any changes to the AOE.
  - d. Ensure continued endorsement of MOD / National interest.
4. Revoked or surrendered AAOS Approval Certificates **should** be returned to the MAA.

<sup>1</sup> Activities that are defined as ATM are detailed in MAA02: Military Aviation Authority Master Glossary.

<sup>2</sup> Not including Airborne ATM Equipment.

<sup>3</sup> This is either the MOD Delivery Team or Contracting Organization.

<sup>4</sup> Refer to RA 3100(3): Air Traffic Management Equipment Organization Exposition.

**Guidance  
Material  
3100(1)****Air Traffic Management Equipment Approved Organization  
Scheme Application and Approval****Application**

5. Organizations seeking new approvals will be aware that the timeline from application to approval is likely to be in the region of 9 to 12 months. Early dialogue with the MAA is encouraged; however, Organizations will note that formal engagement cannot be initiated until appropriate endorsement of MOD / National interest is in place.

6. AAOS applications may be staged; ie initial applications may be made via the MAA AAOS Form 2 once endorsement of MOD / National interest has been received, but with the AOE being submitted at a later date. Further guidance on AAOS applications may be found on the MAA website.

7. ► **When considering AAOS approval in the commercial context it is accepted that where AAOS approval is a requirement in the tender, evidence of route to AAOS accreditation will be considered. Application for AAOS accreditation is therefore to be made upon contract award. Nothing in this para prohibits organizations engaging with AAOS as detailed in para 5.** ◀

**Approval**

8. When it is considered that there is a case for an ATM Equipment Organization to be included in the AAOS, a detailed appraisal will be carried out by the MAA. The appraisal will seek to establish long-term confidence in the Organization's Safety and management systems, key personnel, and in the company structure relevant to the scope of activity. The ATM Equipment Organization will be audited via documentary and on-site inspections.

9. **Certificate.** When evidence presented by the Organization demonstrates that it satisfies the MAA requirements, an AAOS Approval Certificate will be issued listing:

- a. A unique identifying reference.
- b. The approved Organization, including the operating and trading name if different.
- c. The Organization's principal place-of-business address.
- d. The issue date (and date of revision if required).
- e. The title, name and signature of the MAA approving officer.

10. **Schedule.** An AAOS Schedule defining the scope of activity allowable within the AAOS Approval will be issued listing:

- a. The reference of the AOE which details the approved scope of activity.
- b. Any applicable special limitations.
- c. Name and details of the Accountable Manager (AM).
- d. The title, name and signature of the MAA approving officer.

11. **Validity.** An AAOS Approval will normally be issued for an unlimited duration and will remain valid subject to:

- a. The AAOS Organization remaining in compliance with the MRP.
- b. The MAA being granted access to the AAOS Organization to determine continued compliance with the MRP.
- c. The Approval Certificate not being surrendered, suspended or revoked.
- d. Continued endorsement of MOD / National interest.

12. A list of ATM Equipment Organizations who have been granted approval under the AAOS may be published by the MAA.

**Guidance  
Material  
3100(1)**

**Compliance**

13. AAOS Organizations will be subject to compliance Assurance activities conducted by or on behalf of the MAA. Access will be required to personnel, facilities, documents, records, data, procedures and any other materials relevant to compliance.
14. The MAA will withdraw from the AAOS any Organization that no longer meets the requirements.
15. Costs for periodic compliance Assurance activities conducted by or on behalf of MAA will not be recoverable from the MOD.

**Regulation  
3100(2)**

**Air Traffic Management Equipment Approved Organization Scheme Approval Changes**

- 3100(2) Changes to AAOS Approvals **shall** be approved by the MAA.

**Acceptable  
Means of  
Compliance  
3100(2)**

**Air Traffic Management Equipment Approved Organization Scheme Approval Changes**

16. AAOS Organizations **should**:
- a. Consult with the MAA regarding any issue that might affect their AAOS Approval.
  - b. Notify the MAA of any change:
    - (1) Affecting or likely to affect:
      - (a) The scope of its AAOS Approval Certificate or Schedule.
      - (b) Any elements of its management system that support ATM Equipment activities that are contracted by the UK MOD.
    - (2) To key management personnel who have responsibility for AAOS-related activities.
    - (3) To the AM's operating responsibilities or to their supporting Safety system / Organization that may affect their ability to discharge their key AAOS-related responsibilities.
  - c. Submit a formal application for an uplift<sup>5</sup> to its AAOS scope of activity at the earliest opportunity.
  - d. Submit a formal notification of any reduction<sup>6</sup> to its AAOS scope of activity at the earliest opportunity.
  - e. Ensure formal applications and notifications are supported by:
    - (1) Documentation<sup>7</sup> detailing the proposed changes.
    - (2) An updated AOE.
  - f. Only implement changes to its AAOS Approval upon receipt of formal MAA endorsement.

**Guidance  
Material  
3100(2)**

**Air Traffic Management Equipment Approved Organization Scheme Approval Changes**

17. As a minimum, the MAA is to be notified of changes to:
- a. Name and details of the AM.
  - b. Personnel named in the AOE, including the Safety and Quality managers.
  - c. The types / quantities of ATM Equipment being provided and or installed.
  - d. Any technical services that are provided to support ATM Equipment.

<sup>5</sup> Such as: the addition of a type of ATM Equipment, the addition of an ATM Technical Service or a change in operating location.

<sup>6</sup> The MAA may be consulted where doubt exists as to whether a scope change is a reduction or otherwise.

<sup>7</sup> For uplift the documentation required will be analogous to that required to support an initial application for that activity.

**Guidance  
Material  
3100(2)**

- e. Ownership of the AAOS Organization.
  - f. The AAOS Organization's official name, business name, address and / or mailing address.
18. Application to the MAA for an AAOS Schedule amendment will not constitute approval to operate to the proposed amendment.
19. Following receipt of a scope uplift the MAA will determine continuing compliance with the MRP and amend, if necessary, the AAOS Approval Certificate and / or Schedule.

**Regulation  
3100(3)**

**Air Traffic Management Equipment Organization Exposition**

3100(3) AAOS Organizations **shall** submit an AOE to the MAA.

**Acceptable  
Means of  
Compliance  
3100(3)**

**Air Traffic Management Equipment Organization Exposition**

20. AAOS Organizations **should** ensure:
- a. Their AOE is up-to-date.
  - b. The MAA is provided with an electronic copy of the current AOE.
  - c. Ensure that all amended AOE's highlight the auditable changes from the previous iteration.
21. The AOE **should** contain, but is not limited to, the following subject headings.
- a. **Organization Management.** As a minimum this **should** contain:
    - (1) A statement signed by the AM confirming that the AOE and any referenced associated documentation define the Organization's compliance and / or continued compliance with the extant MRP. When the AM is not the Chief Executive Officer of the Organization they will have demonstrable delegations from their line management to carry out the AM role.
    - (2) The official name and business name, address and mailing address of the ATM Equipment Organization.
    - (3) The details of the AM and all other key management personnel responsible for AAOS activities, together with their qualifications and experience.
    - (4) An Organizational chart showing associated chains of responsibility.
    - (5) A description of the Organization's scale, including the number of staff associated with the task at each operating site.
    - (6) A list of contracted and subcontracted Organizations together with, where applicable, statements regarding their suitability.
    - (7) The AOE amendment procedure.
    - (8) A statement<sup>8</sup> of which MRP Regulatory Articles (RAs) are deemed applicable and the method of compliance.
  - b. **Scope of Contracted Activities.** As a minimum this **should** contain a detailed description of the Organization's scope of activities relevant to the approval and explicitly state:
    - (1) All types of ATM Equipment / Technologies being provided and / or installed.
    - (2) All types of ATM technical services that are being provided to support ATM Equipment.

<sup>8</sup> The AAOS Compliance Matrix as per the MAA website may be used.

**Acceptable  
Means of  
Compliance  
3100(3)**

(3) All locations where in-scope ATM Equipment activities are being conducted.

c. **Safety Management.** As a minimum this **should** contain details of the Organization's Safety Management System (SMS) and associated policies<sup>9</sup>.

d. **Quality Management.** As a minimum this **should** contain details of the Organization's Quality Management System and associated policies<sup>9</sup>.

e. **Maintenance and Operations Procedures.** As a minimum this **should** contain:

(1) Details of the Organization's Maintenance policies, procedures and activities, and how they comply with the requirements of RAs 3104-3108<sup>10</sup>.

(2) Details of testing appropriate to the type of equipment and its application, including environmental, ground and flight checking where necessary.

f. **Occurrence Reporting**<sup>11</sup>. As a minimum this **should** contain:

(1) Occurrence Reporting procedures.

(2) Unsafe Condition Reporting procedures.

(3) Error Management System procedures.

g. **Personnel and Training**<sup>12</sup>. As a minimum this **should** contain:

(1) Staff Training Plan.

(2) Training and Competence Records.

(3) Human Factors Training content and periodicity.

22. **Security Management.** As a minimum this **should** contain the security procedures to be applied to ensure that the integrity of the ATM Equipment is not compromised.

**Guidance  
Material  
3100(3)**

**Air Traffic Management Equipment Organization Exposition**

23. An AOE is the document, or documents, that contain the material specifying the scope of activity deemed to constitute an AAOS Approval and showing how the AAOS Organization intends to comply with the MRP; any activity not specified will not be covered by the approval.

**Regulation  
3100(4)**

**Air Traffic Management Equipment Approved Organization Scheme MAA Regulatory Publications Applicability**

3100(4) An Organization subject to the AAOS **shall** comply with the MRP.

**Acceptable  
Means of  
Compliance  
3100(4)**

**Air Traffic Management Equipment Approved Organization Scheme MAA Regulatory Publications Applicability**

24. AAOS Organizations **should** comply with the latest issues of all applicable RAs.

<sup>9</sup> A signpost / link to existing documentation is acceptable.

<sup>10</sup> Refer to the following RAs: RA 3104 – Air Traffic Management Equipment Approved Organization Scheme Maintenance Records; RA 3105 – Air Traffic Management Equipment Approved Organization Scheme Maintenance Documentation; RA 3106 – Air Traffic Management Equipment Approved Organization Scheme Maintenance Practices; and RA 3108 – Air Traffic Management Equipment Approved Organization Scheme Occurrence Reporting.

<sup>11</sup> Refer to RA 3108 – Air Traffic Management Equipment Approved Organization Scheme Occurrence Reporting and RA 1410 – Occurrence Reporting and Management.

<sup>12</sup> ► Refer to RA 1440 – Air Safety Training. ◀

**Guidance  
Material  
3100(4)**

**Air Traffic Management Equipment Approved Organization  
Scheme MAA Regulatory Publications Applicability**

25. MRP compliance will be assessed by the MAA on a Risk-based profile. The Risk-based profile will include such factors as previous regulatory compliance and performance at routine surveillance. Any change to the approved MAA scope of the AAOS Organization will require reassessment of the MRP RA applicability.

**Regulation  
3100(5)**

**Contracted ► / Subcontracted ◄ Activities**

3100(5) AAOS Organizations that subcontract activities in order to meet their contractual obligations to the MOD **shall** be responsible for providing Assurance that the subcontracted Organization is fit for purpose and has appropriate processes in place.

**Acceptable  
Means of  
Compliance  
3100(5)**

**Contracted ► / Subcontracted ◄ Activities**

26. If an AAOS Organization subcontracts any element of its scope of activities that are specified in its AOE, the AAOS Organization **should** demonstrate:

- a. That it has assured itself of the initial and continued competency of the subcontracted Organization and recorded all decision making processes and assumptions, even if the subcontractor independently holds AAOS accreditation in their own right.
- b. Clear linkages with the subcontracted Organization<sup>13</sup>.

27. An AAOS Organization **should** ensure that processes and procedures are in place to allow the MAA access to the subcontracted Organization, in order to assure the AAOS Organizations' linkages and actions.

**Guidance  
Material  
3100(5)**

**Contracted ► / Subcontracted ◄ Activities**

28. For the purposes of this Regulation, the term 'activities' refers to only those specified in the endorsed AOE of the AAOS Organization.

<sup>13</sup> An example is SMS interfaces.