



*Transportation Technology Center, Inc., a subsidiary of the Association of American Railroads*

# **Quality Assurance Committee Update For NARMO**

**March 18, 2014**



# Quality Assurance Committee Update

## QAC Overview

- ◆ **Overview of the Quality Assurance Committee (QAC)**
  - Mission, Objectives, Current Projects

## QA New Application Introduction

- ◆ **New Online Application for Applying for AAR M-1003**
  - Quality Assurance Certification
  - Implementation Date

## New Tank Car Facility Certification Overview

- ◆ **Overview of the New Tank Car Facility Certification**
  - Certification Alignment (M-1002 & M-1003)

## 7.1 Non-Conformance DB Review

- ◆ **Review the 7.1 Non-Conformance Database (DB)**
  - Online New Look
  - Basic Statistics





# Quality Assurance Committee (QAC)

- ◆ **QAC Chairman - Donald Fredbeck**
  - *First Union Rail - Rosemont, IL*
- ◆ **QAC Vice Chairman - Mark Smyre**
  - *Norfolk Southern Corporation - Roanoke, VA*
- ◆ **QAC Member - Yves Blanchette**
  - *Canadian Pacific Railway - Calgary, AB, Canada*
- ◆ **QAC Member - Thomas O'Connor**
  - *BNSF Railway - Fort Worth, TX*
- ◆ **QAC Member - Roderick Riley**
  - *Union Pacific Railroad – Palestine, TX*
- ◆ **QAC Member - Joy Cooke**
  - *CSX- Jacksonville, FL*
- ◆ **QAC Member - Adrian R. Morgan**
  - *Watco Transportation Services - Waycross, GA*
- ◆ **QAC Member – Brian Ebersole**
  - *Amtrak Washington DC HSR*
- ◆ **Affiliate Member – Tracy Ulm**
  - *New Orleans & Gulf Coast Railroad – Belle Chasse, LA*
- ◆ **Associate Member - Richard Szromba**
  - *TTX*
- ◆ **Associate Member – Mark Lumadue**
  - *Standard Steel, LLC – Burnham, PA*





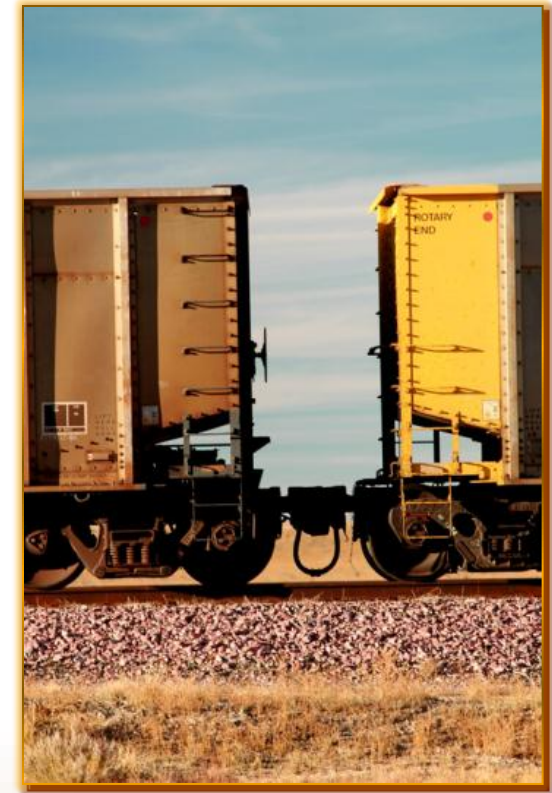
# Introductions

## ◆ New Faces:

- |                    |                       |
|--------------------|-----------------------|
| ● Don Guillen      | - QAC Program Manager |
| ● Arturo Castanon  | - Quality Engineer    |
| ● Steven Berkshire | - Chief Inspector MID |

## ◆ Retired or Left:

- |                     |                                     |
|---------------------|-------------------------------------|
| ● Armand Ciccarelli | - Retired as Director of MID        |
| ● Keith Strout      | - Retired as Chief Inspector of MID |
| ● Steve Geneva      | - No longer with TTCI               |



## QAC Mission Statement

The QAC's mission is to **improve** component **reliability** and durability with the goal of enhancing the **safety** and operational integrity of interchange freight cars and to **reduce** the **overall cost** of equipment maintenance by assuring that both new and reconditioned mechanical components **conform** to established AAR **specifications**.

# Quality Assurance Program

- ◆ **719 Companies Certified to AAR M-1003 Specification**
- ◆ **Four Auditing Agencies**
  - Mechanical Inspection Department (MID) – 14
  - Bureau of Explosives (BOE) – 8
  - CR Quality Services (CRQS) – 9
  - International Quality Consultants (IQC) – 13
- ◆ **44 Certified M-1003 Auditors auditing on behalf of the AAR**

An orange, multi-pointed starburst or seal-like graphic with a black outline. It is centered on the page and contains the text "60 / Mo." in a bold, black, sans-serif font.

**60 / Mo.**

# Quality Assurance Program

- **Certification & Recertification Audit: All 24-Elements**
  - ▲ 2 ½ days
- **Compliance Audit Year 1 & 2: 8-Elements**
  - ▲ 2-days
- **MID Performed 280-Audits**

Audit Type	Type	2013 Quantity
Certification Audit	CT	48
Re-Certification Audit	RE	194
Compliance Audit 1	C1	260
Compliance Audit 2	C2	217



## ◆ Annual Quality Conference for AAR Auditors Feb. 10th

- Approximately 115 people attended
  - ▲ 44 auditors / mgmt., 12 QAC, and 54 industry representatives
- AAR auditors received:
  - ▲ New auditing techniques
  - ▲ Training on OE, RCA, NDT
  - ▲ Tested and interviewed by QAC
- Reviewed updates to the M-1003 standard

## ◆ Revising AAR M-1003 specification

- Last update June 2011
- QAC having two face-to-face meetings
- Expected completion August 2014





## ◆ Training Courses Offered:

- 5-Basic Auditor Training Classes
- 4-Lead Auditor Training Classes
- 2-Root Cause Analysis Classes



## ◆ Quality Courses/Classes Training for the Industry

- Requests by Quality Assurance Managers, Auditors, Operations....
- Technical Inspection Classes



# QAC Current Projects

## AAR M-1003 Quality Assurance 2014 Training Schedule

Meeting/Type	Frequency	Date	Location
Basic Auditors Training	4/5-times per year	April 22-24, 2014	Dallas/Ft. Worth, TX
		June 24-26, 2014	Sacramento, CA
		August 19-21, 2014	St. Louis, MO
		October 28-30, 2014	Jacksonville, FL
		tbd	Mexico
Advanced Auditors Training	4/5-times per year	April 8-10, 2014	Newton Falls, OH
		May 20-22, 2014	Roanoke, VA
		September 23-25, 2014	Kansas City, MO
		November 18-20, 2014	Mira Loma, CA
		tbd	Mexico
Root Cause & Corrective Action	2-times per year	May 13-15, 2014	Dallas/Ft. Worth, TX
		July 15-17, 2014	Chicago, IL



## ◆ Support TCC Task Force

- Move F, G & L facilities to become M-1003 certified

## ◆ 7.1 Nonconformance Reporting

- Rebuilding online automated process

## ◆ AAR Committee Updates

- For example, WABL Committee on March 4th

## ◆ M-1003 Audit Statistics Feedback to Agencies:

- New Companies
- Recertified
- Surveys

## ◆ Maintain

- Certified Companies Database
- Ensure AAR Auditors are trained and performance is monitored



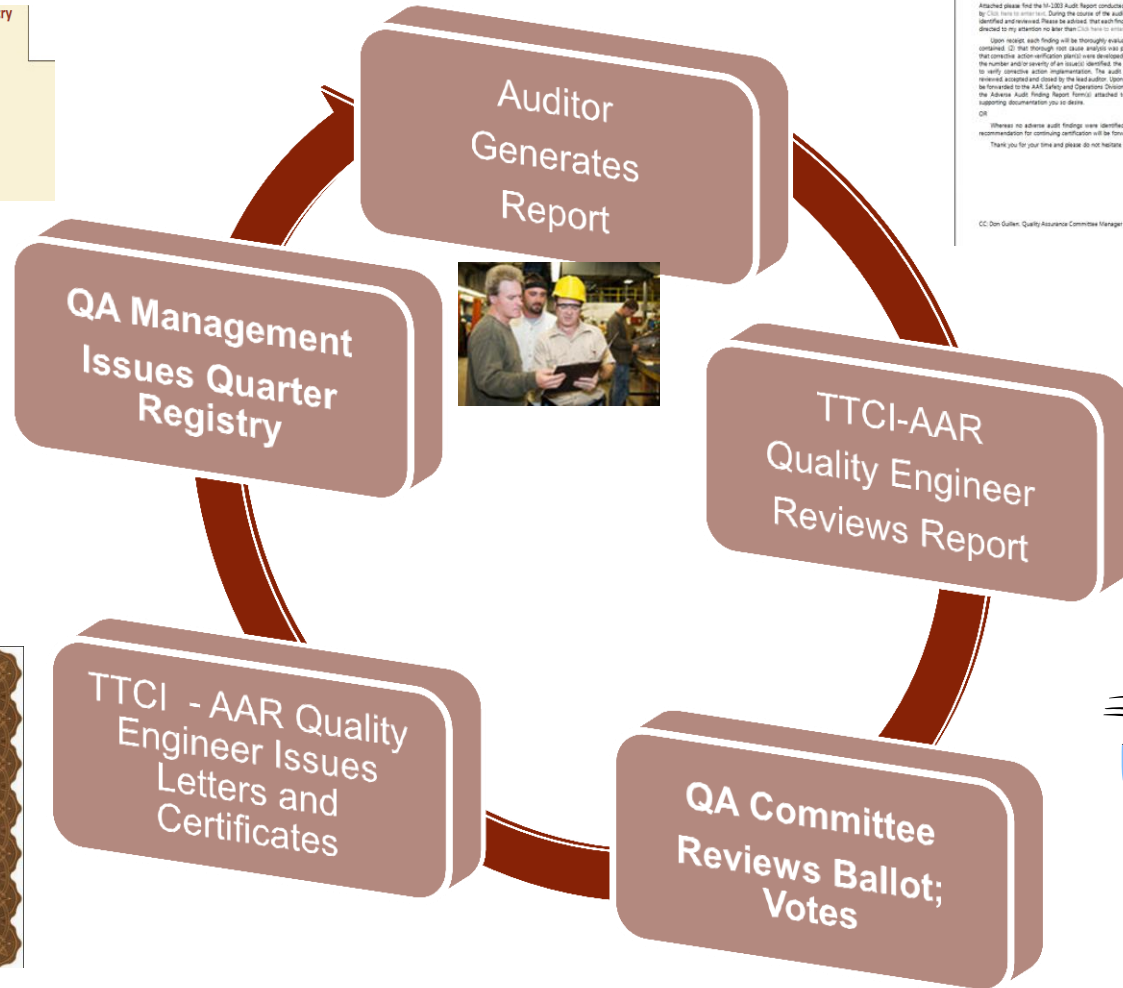
# Audit Reporting - Cycle

## ◆ What is the cycle of an Audit Report

Welcome	Useful Links	QA Training	M-1003 Registry
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**Registry of AAR QA Certified Companies**

Most recent Registry of AAR QA Certified Companies by:  
Q4 2013 M-1003 Certified Registry By Commodity  
Q4 2013 M-1003 Certified Registry By Contractor  
Q4 2013 M-1003 Certified Registry



**TTCI-AAR Quality Engineer Reviews Report**

QA-13-0008-Click here to enter a date

Attached please find the M-1003 Audit Report conducted at your facility on [Date]. Click here to enter a date and Click here to enter a date.

By Click here to enter a date. During the course of the audit and at the closing meeting, Click here to enter a date audit findings were identified and reviewed. Please be advised that each finding requires a formal written response from your organization and should be directed to my attention no later than Click here to enter a date, 100 days from the closing meeting date.

Upon receipt, each finding will be thoroughly evaluated to ensure that (1) the finding was immediately addressed, corrected and completed, (2) that thorough root cause analysis was performed, (3) that effective corrective actions were identified, and finally (4) that corrective action verification details were developed to ensure the effectiveness of the corrective actions taken. Depending upon the number and/or severity of an issue(s) identified, the Quality Assurance Committee reserves the right to conduct a follow-up audit to verify corrective action implementation. The audit is considered complete only when each Audit Finding report is addressed, reviewed, accepted and closed by the lead auditor. Upon my acceptance of your response(s), a recommendation for recertification will be forwarded to the Audit Group and Operations Director. Quality Assurance Committee for final approval. It is required that you use the Advance Audit Finding Report form(s) attached to the report for documenting your response and feel free to attach any supporting documentation you so desire.

OR

Whereas no adverse audit findings were identified during the audit, no further information is required at this time. As such, a recommendation for continuing certification will be forwarded to the Audit Group and Operations Director for further handling.

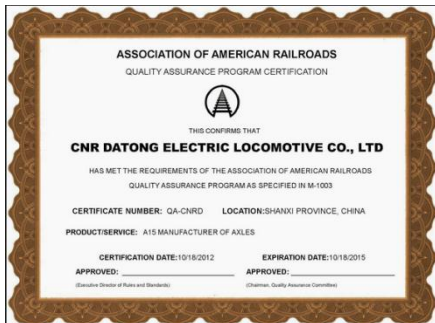
Thank you for your time and please do not hesitate to contact me at 1213.1213 with any questions, comments or concerns.

(Signature)

Your Name

Your Title

CC: Don Gullett, Quality Assurance Committee Manager





# Company Registry



[www.aar.com](http://www.aar.com) Website

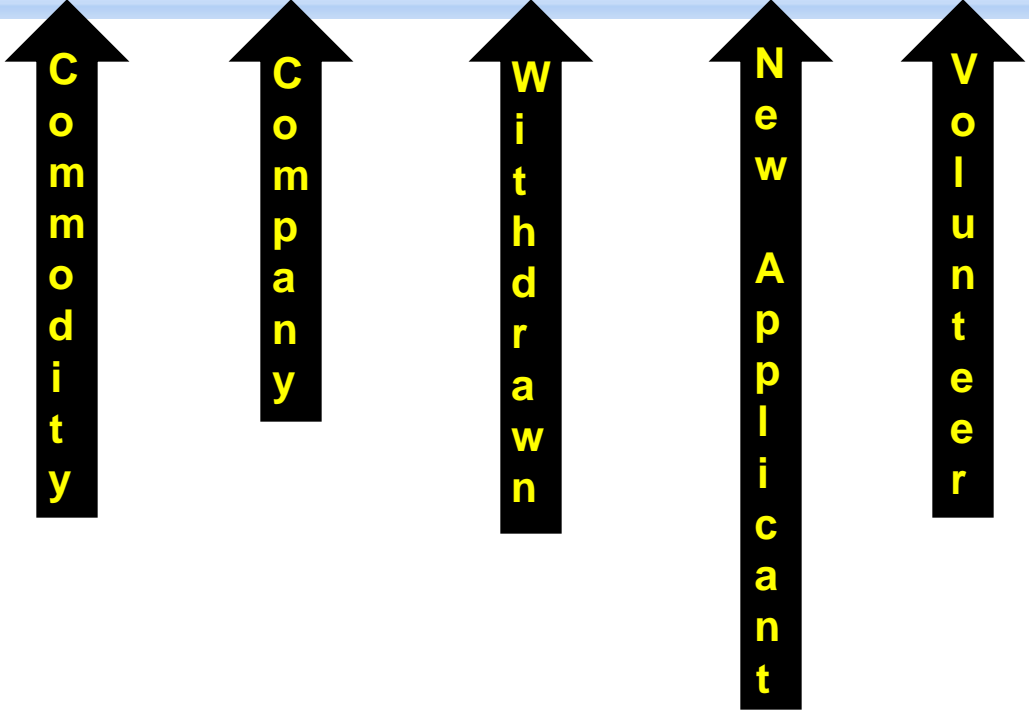
- Most Recent Registry of the AAR
  - Certified Companies:
    - Q4 2013 M-1003 Certified Registry by **Commodity**
    - Q4 2013 M-1003 Certified Registry by **Contractor**
    - Q4 2013 M-1003 Certified **Registry**
- Circular Letter Receipt





# Company Registry

		VYKSA STEEL WORKS	Vyksa	Region
A13	Manufacturer Of Wheels	AMSTED RAIL COMPANY, INC.	Kansas City	KS
			Keokuk	IA
		XINYANG AMSTED TONGHE WHEELS COMPANY LTD.	Xinyang City	Henan Prov.
A15	Manufacturer Of Axles	ACOFORJA INDUSTRIA DE FORJADOS S.A.	SANTA LUZIA	MINAS GERAIS
		AXIS, LLC	Paragould	AR
		BAHNTECHNIK BRAND-ERBISDORF GNMH	Brand	Erbisdorf
		BAOTOU NORTH RAILROAD PRODUCT		
<div><div>Commodity</div><div>Contractor</div><div>Data</div><div>withdrawn</div><div>New Applicant</div><div>Volunteer</div></div>				







# Company Registry

- ◆ AAR.COM
- ◆ Select “Technical Standards”

**TTCI**  
Transportation  
Technology Center, Inc.

5:00 a.m. Update 1/28/2014. Normal start for TTC.  
DOT Road is snowpacked bridges are icy. Drive safely  
and monitor local radio & TV stations for changing  
conditions.

f t YouTube

Search

About Services Hazmat Training **Technical Standards** Career Opportunities Contact Us

Click here for sitemap

**What's New**

press release

► **First MBTA HSP-46 at TTCI for testing**

PUEBLO, Colo. – The Massachusetts Bay Transportation Authority's first new HSP-46 regional/commuter rail locomotive has arrived at TTCI in Pueblo, Colo., to undergo testing before it is delivered to Boston and operator MBOR (Massachusetts Bay Commuter Railroad).

**Multimedia** multimedia page

video

► **This Is TTCI**

*This is TTCI* investigates the various engineering services and technologies at Transportation Technology Center in Pueblo Colorado...

**MEET TTCI'S MILITARY VETERANS**

**Welcome**

Welcome to Transportation Technology Center, Inc. (TTCI), a wholly owned subsidiary of the Association of American Railroads. TTCI is a world-class transportation research

**PUBLICATIONS**  
Annual Report 2013





# Company Registry

## ◆ Select > Technical Services > QAC > M-1003 Registry

**Technical Services** Contact Us Approvals AAR Publications Reporting Forms MID BOE IOWC  
Welcome TSWC ARB CRB ASEC EHMC DPFC EEC BSC CSTCC SEFC WABL OTLR **QAC** LC LRB ICPC IOC

### Quality Assurance Committee

Welcome Useful Links QA Training **M-1003 Registry**

#### Registry of AAR QA Certified Companies

Most recent Registry of AAR QA Certified Companies by:  
**Q4 2013 M-1003 Certified Registry By Commodity**  
**Q4 2013 M-1003 Certified Registry By Contractor**  
**Q4 2013 M-1003 Certified Registry**

#### M-1003 Nonconformance - Chapter 7 Reporting

The objective of non-conformance reporting is to document and provide traceability of an M-1003 Covered material or service failure or the failure of a material described in the Manual of Standards and Recommended Practices. Also, it is to document its disposition, the corrective action taken to ensure that the cause of the failure is eliminated, and the follow-up initiated to ensure that the corrective action is effective and permanent. To sign up or submit an issue on-line please click here.

#### Quality Assurance System Evaluation Checklist

To download a copy of the most recent Quality Assurance System Evaluation Checklist, click on the following link. Quality Assurance System Evaluation.pdf

#### AAR Technical Supplemental Technical Checklists

AAR Specification M-1003 paragraph 2.15.12 requires that applicable AAR technical checklists be completed at least annually.

For a listing of the available AAR technical checklists including revision level, please click on the following link: Supplemental for MSRP Compliance  
**Note: Clear the page cache by pressing F5 if you receive old or unrelated information.**







# New Companies and Commodity Changes

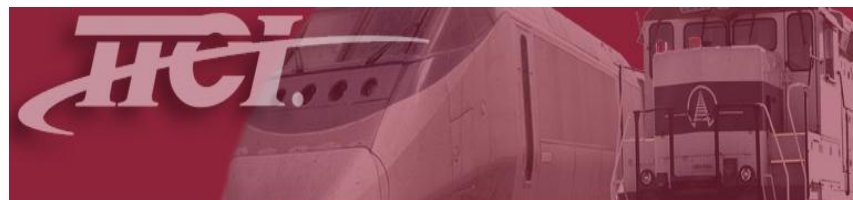
## Applying for M-1003 Quality Assurance Certification

### ◆ Current Process:

- New Companies & Existing Companies for Commodities Additions / Changes
- Print out Forms, fill-out by hand
- Send-in to TTCI for processing
  - ▲ Updating the Database
  - ▲ Selecting the Audit Agency

### ◆ Future Process:

- Company Completes Online Form which Automatically Updates the Companies Database
  - ▲ Implementation: Second Quarter



[Technical Services](#) [Contact Us](#) [Approvals](#) [AAR Publications](#) [Reporting Forms](#)  
[Welcome](#) [TSWC](#) [ARB](#) [CRB](#) [ASEC](#) [EHMC](#) [DPFC](#) [EEC](#) [BSC](#) [CSTCC](#) [SEFC](#) [WABL](#) [OTLR](#) [QAC](#) [L](#)

### Quality Assurance Committee

[Welcome](#)

[Useful Links](#)

[QA Training](#)

[M-1003 Registry](#)

[QAC Newsletter](#)

### Manual of Standards and Recommend Practice

[Free Index](#) [Purchase](#) [Section J Specification for Quality Assurance, M-1003](#)

[Supplemental for MSRP Compliance](#)

[Quality Assurance System Evaluation Checklist](#)

[M-1003 Nonconformance - Chapter 7 Reporting](#)

[Process For Obtaining AAR Approval](#)

[M-1003 Certification Overview](#)

[Application for Certification Online Form](#)

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[c-11906](#)





# New Companies and Commodity Changes

## Application for QA Approval

### APPLICATION FOR CERTIFICATION

#### AAR QUALITY ASSURANCE PROGRAM

IT IS INTENDED THAT AAR QUALITY ASSURANCE CERTIFICATION BE APPLICABLE TO MANUFACTURERS/SUPPLIERS THAT HAVE OR ARE IN THE PROCESS OF OBTAINING AAR APPROVAL OF THEIR PRODUCTS/SERVICES UNDER AN EXISTING TECHNICAL STANDARD OR SPECIFICATION WHEN TECHNICAL APPROVAL IS REQUIRED BY THE SPECIFICATION.

\* NOTE: All fields in the form are mandatory

#### Company Information

Legal Company Name:

Address:

City:

State/Province:

Country:

Postal Code:

Phone:

Email:

Website:

#### Corporate Information

☐ Copy from company information

Legal Company Name:

Address:

City:

State/Province:

Country:

Postal Code:

Phone:

Email:

Website:

Member of AAR?





# New Companies and Commodity Changes

## Shop Facility Information

Total Square Footage:

Total Number of  
Employees:

## Commodities to Consider for Certification

Product/service to be  
certified: ☐ New ☐ Reconditioned ☐ Secondhand ☐ Repair

List of commodities for certification

Commodity Code	Commodity Description	Technical Approval Required	Technical Approval Filed?	Action
----------------	-----------------------	-----------------------------	---------------------------	--------

## Supplemental Attachments

The following attachment(s) are to be submitted with, and become part of, this application. The following file extensions are accepted: 'doc', 'jpg', 'pdf', 'ppt', 'xls', 'docx', 'xlsx' and 'pptx'. There is a ten file maximum restriction and each file cannot exceed 2 Megabytes.

If the address of the manufacturing facility you're registering for is located outside of North America, you must provide one(1) of the following documents in addition to what is already required.

1. Actual Purchase Order
2. Contractual Agreement(signed)
3. Letter of Intent

No files selected.

## LIST OF UPLOADED SUPPLEMENTAL ATTACHMENTS:

## Application Key

Please provide a passphrase that will serve as the key to access the application in the future.

**NOTE: You will be required to enter your pass phrase to make updates to your application in the future.**

Passphrase:

Confirm Passphrase:



# Tank Car Facility Update

- All Tank Car Facilities must have M-1002 & M-1003 certification
- There are no longer M-1002 Tank Car Facility Classes (A, B, C, D, F, G, and L)
- M-1002 activity codes to be aligned with M-1003 commodity codes
- There are certified tank car facilities that have their M-1003 QA Audit and M-1002 Inspection conducted several months apart
  - This condition requires two visits a year by a BOE Inspector & AAR M-1003 Auditor
- Align Audits



# Tank Car Facility Update

- **Why Align**
  - Save the industry additional audit/inspection expenses
  - To better utilize BOE Field Force Inspector resources
- **How is this to be accomplished**
  - Each facility will be handled on a case-by-case basis
  - Exp: M-1002 expiration date may come before the M-1003 expiration date
  - To be proactive when assigning M-1002 & M-1003



## **◆ What is the QAC doing to be Proactive for the Industry**

## **◆ QA 7.1 Reporting during 2013**

- Approximately 1004 – QA-7.1 reports were received
- 600 Closed with QA-7.3's
- 998 were issued via the on-line system in 2013
- 72 Companies Generated a QA-7.1

## **◆ 7.1 Database Improvements**

- TTCI is in contract with a company (iiRX) to upgrade the online 7.1 system.

## ◆ Improvements in the Non-Conformance Database

### ● Simplify the Interface

- ▲ Design, speeding up the site, easier to navigate
- ▲ March 24<sup>th</sup> release (announcement via CL)

### ● More Meaningful Reporting

- ▲ Integrating *Tableau business intelligence*.
  - Developing Tablet application that makes accessing data portable



Workbook: Non Conformance Reporting in Project: Default

Delete Permissions Tag Scheduled Tasks Download Workbook

Sort By: Name Sheet# ↑ Modified Publisher

Projects 1  
Workbooks 1  
Views 9  
Data Sources 0

## Filters

Search for content

## PROJECT

Any Project

## PUBLISHER

Any Publisher

## TAG

Any Tag

## MODIFIED ON OR AFTER

Any Date

## MODIFIED ON OR BEFORE

Any Date

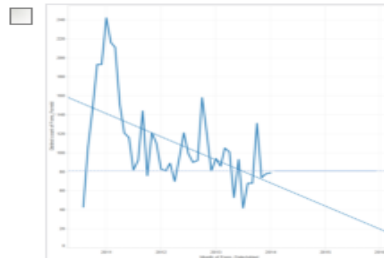
## FAVORITES

Show Only Favorites

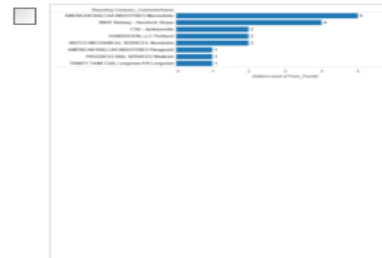
## RECENTLY USED

Show Only Recently Used

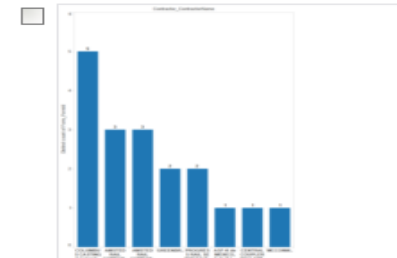
## Forms Created By Month



## 2013 Forms Created By Reporting Company



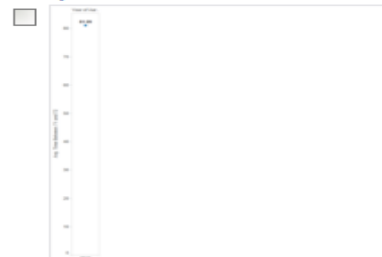
## 2013 Forms By Contractor



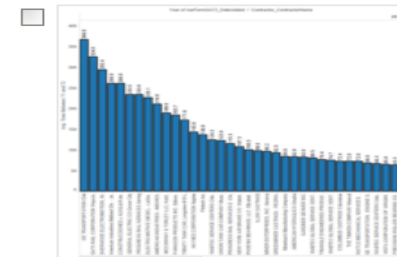
## 2013 Incomplete 7.1s



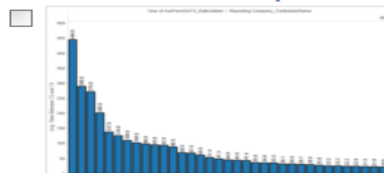
## 2013 Average Time for 7.2 Response



## 2013 Time for 7.2 Response by Contractor



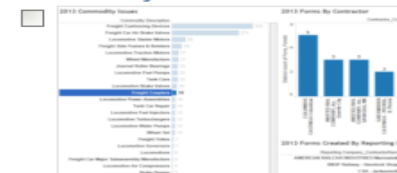
## 2013 Time for 7.3 Response



## 2013 Commodity Issues



## Commodity Dashboard





# 7.1 by Commodity



## ★ Non Conformance Reporting

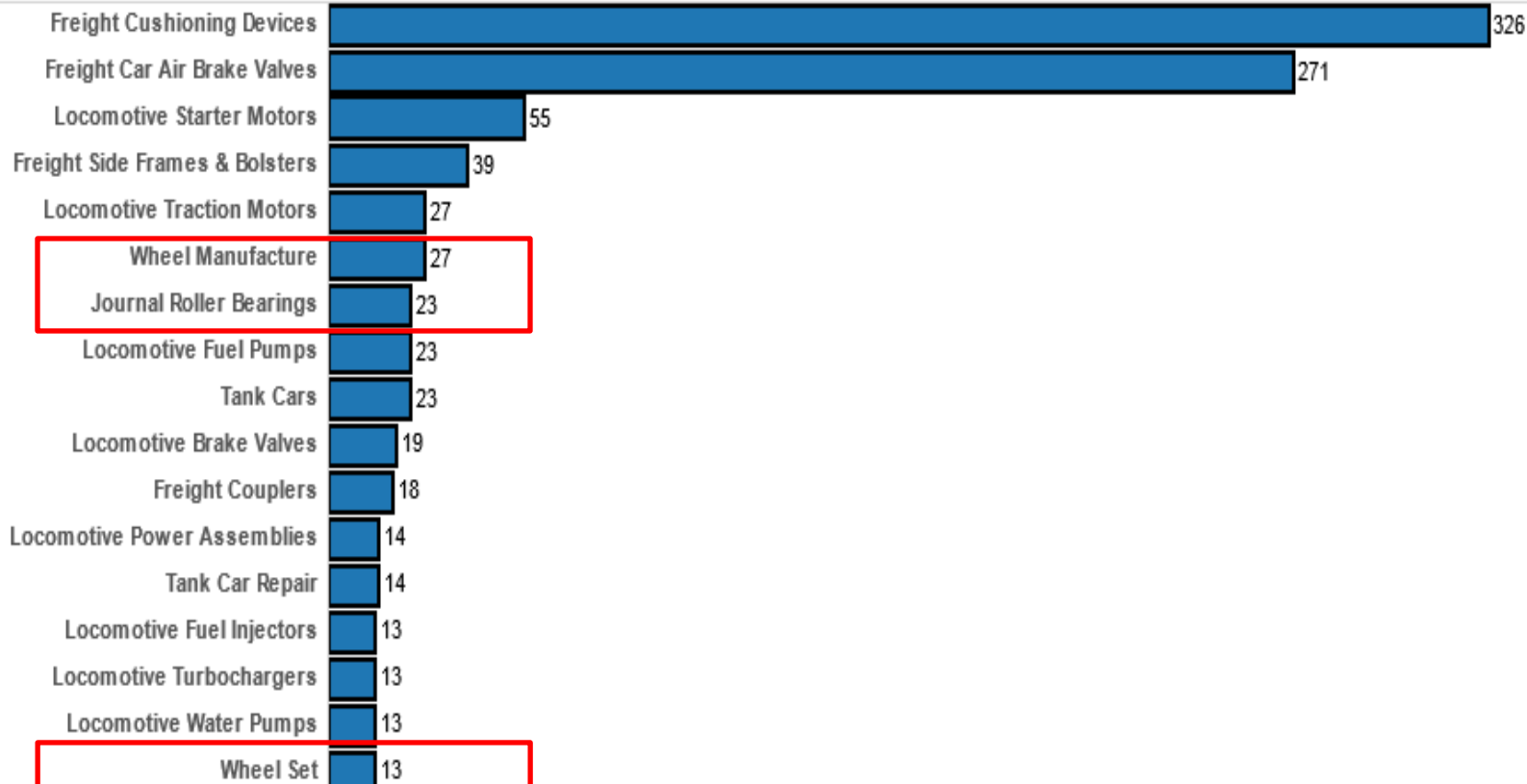
[Back](#) [Workbook](#)

➔ Share Remember my changes ▼



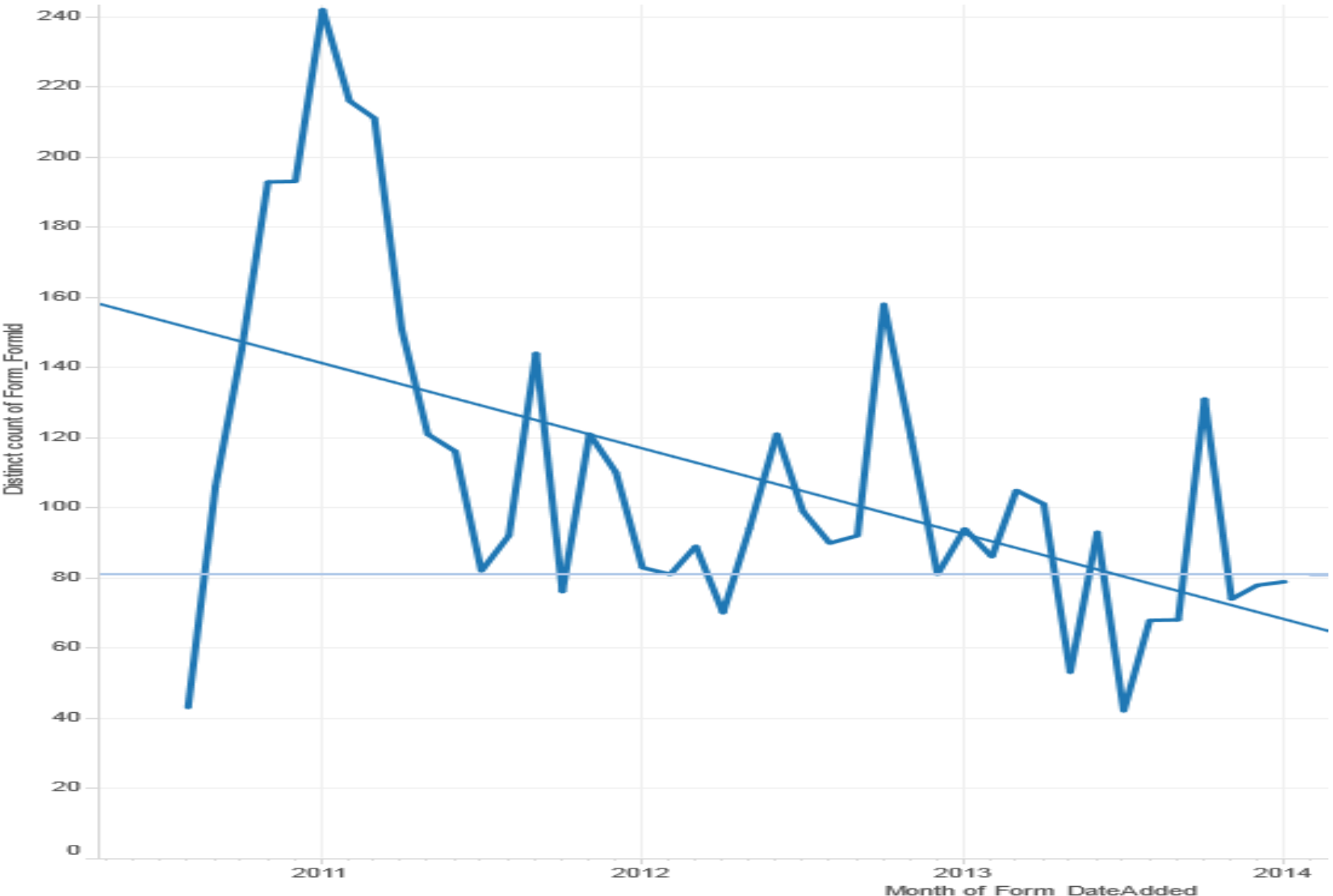
▼ < [e for 7.2 Response](#) [2013 Time for 7.2 Response by Contractor](#) [2013 Time for 7.3 Response](#) [2013 Commodity Issues](#) [Commodity Dashboard](#)

Commodity Description





# 7.1 by Year



# 7.1 by Company



## ★ Non Conformance Reporting

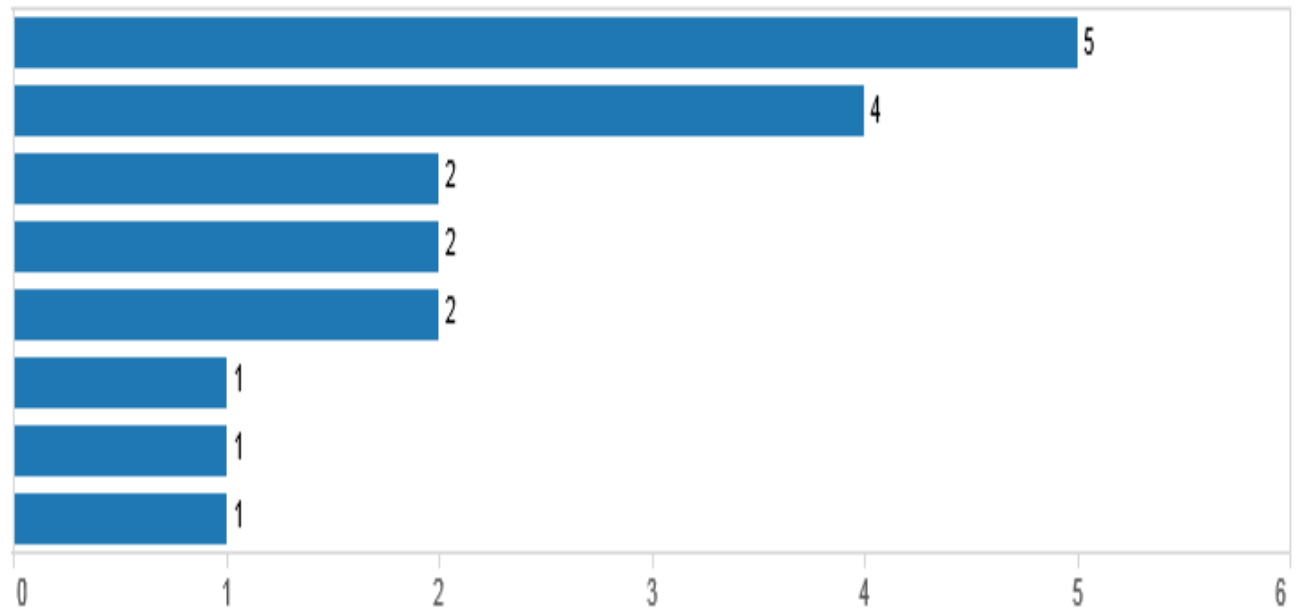
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▼ < Forms Created By Month 2013 Forms Created By Reporting Company 2013 Forms By Contractor 2013 Incomplete 7.1s 2013 Average Time >

Company A  
Company B  
Company C  
Company D  
Company E  
Company F  
Company G  
Company H  
Company I



Distinct count of Form\_FormId



# **Quality Assurance Committee Future Work**

- ◆ **Complete Implementation of 7.1 Nonconformance Online DB**
- ◆ **Continuation of the New Application Online DB**
- ◆ **Complete Revision of AAR M-1003 Specification – Target Aug. ‘14**
- ◆ **Update “AAR Auditor’s Handbook”**
- ◆ **Testing of Tablet Implementation for Auditor Reporting**
- ◆ **Complete Transfer of Current Contractor DB to Online Railinc System**
- ◆ **Continue to Increase Interaction / Communication with Other AAR Committees**



*Transportation Technology Center, Inc., a subsidiary of the Association of American Railroads*

**Thank you.....**

