

# AAR/RSI QUALITY NEWSLETTER

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## INSIDE THIS ISSUE

Page 1 – Corrective and Preventive Action

Page 2 – Views & Interpretations

Page 3 – Special Thank You

Page 4 - RSI QAC

Page 5 – How are Changes to AAR MSRP's and Field Manual Rules Made?

Page 6 - Calendar of Events & Important Links

Page 7 – AAR Auditor Conference

## CORRECTIVE AND PREVENTIVE ACTION – WHY THE INCREASED ATTENTION?

Submitted by Bob Wolbert – Progress Rail

Quality Management Systems and the companies that use them are shifting from a “customer satisfaction” approach to a “risk avoidance / mitigation” perspective. Internal and external auditors continue to increase attention on RCA (Root Cause Analysis), the tools in use, and the training provided to improve upon this process. At the recent AAR QA Conference you heard the terms PPAP (Production Part Approval Process) and FMEA (Failure Mode Effects Analysis). Both are structured and analytical tools used by teams at companies to evaluate risk potential in their processes and reduce them. So why don't we take the same approach with Corrective Action and Preventive Action (CA/PA)?

CA/PA, PPAP, and FMEA have a common but sometimes overlooked requirement. They all require teamwork involving more than just the QA manager's input. A cross functional team consisting of the employee(s) performing the work, operations, quality, and engineering management personnel must be involved in the development and follow up phases to enjoy a shot at successful RCA. Employing Team

Dynamics you can avoid some of the common pitfalls of poor RCA listed below:

1. Rushing to conclusion and single perspective interpretation and response seldom gathers the underlying reasons for a process failure.
2. Blaming it on training that an employee did not complete the task as required should be replaced with a more exhaustive investigation. What could have prevented the employee from failing?
3. Not looking at all the M's- Man (Mind Power), Materials (raw and consumables), Machines (Equipment Technology), Method (Process), Measurement (inspection), Maintenance, Management, Mission for potential contributions to the issue at hand.
  - When looking at the M's above, utilize a checklist of questions that help you get to the needed information.  
**For example:** Man – Was the employee properly prepared for the task at hand? Are the initial training provided and recurring training assessments adequate? Has the employee had vision changes? Has the employee's work environment changed? Equipment, tooling, or measuring & test equipment (MTE) changes occurred recently? Have other employees had a similar compliance issue?
4. Not using the tools to reach true RCA:
  - 5 Whys technique

- Fishbone / Ishikawa / Cause and Effect Diagrams
- Kepner-Tregoe
- Apollo Root Cause Analysis
- Pareto Analysis
- Scatter Diagram
- Statistical Process Control
- Design of Experiments
- FMEA
- Flowcharts or Process Maps

Invoking teamwork on CA/PA affords the quality professional with valued resources resulting in a multiplier of the time, energy and talents previously expended on RCA by a single QA resource in pursuit of true RCA. This process results in more engaged employees as an added benefit which increases quality awareness and commitment.

## **VIEWS AND INTERPRETATIONS**

**Q:** *Where can I find the most recent version of the Quality Assurance System Evaluation (QASE) Checklist?*

**A:** The most recent QASE is linked in the Frequently Asked Questions (FAQ) page on the AAR website. Here is a link to the page: <http://www.aar.com/standards/FAQ.html> Once you open the FAQ page, scroll down to the “General Questions” section and you will find the QASE information with a downloadable file link.

**Q:** *If a nonconformance has already been identified during an internal audit, is it still permissible for an AAR auditor to issue a finding for the same thing?*

**A:** An AAR auditor may write an adverse audit finding report, even if the nonconformance was found in the internal audit, if the auditor also found the nonconformance and it has not been corrected.

**Q:** *If a company has more than one facility, can a common AAR M-1003 certificate be issued that applies to all of the locations?*

**A:** M-1003 certification is a facility-specific certification as noted in paragraph 1.8.2, “Separate applications are required for each separate facility manufacturing and/or reconditioning covered components, regardless of common ownership or control of those facilities.”

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*Submit your M-1003 request for clarification or interpretation by emailing [QA@aar.com](mailto:QA@aar.com).*

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## A SPECIAL THANK YOU TO PROGRESS RAIL

Submitted by Sheena Prevette – Transportation Technology Center, Inc.



Each year the AAR Quality Assurance Committee (QAC) hosts professional training courses that provide transformational learning experiences. This is accomplished by bringing together diverse professionals, connecting them with each other and equipping them with the tools they need to improve Quality Management System (QMS) practices in the rail industry. The AAR Advanced Auditor Training is a flagship course designed to provide intensive hands on auditing experience by getting auditors out of the classroom and into M-1003 Certified facilities.

The AAR QAC and Transportation Technology Center, Inc. would like to take this opportunity to extend a very sincere **thank you** to Progress Rail for hosting three Advanced Auditors Training courses during 2017. Opening your M-1003 Certified facilities has provided participants the opportunity to finetune their auditing skills via real-world perspectives and insights. Anand Vithani, Director of Quality Assurance and Warranty for Wells Fargo Rail attended the Advanced Auditor's Training at the Progress Rail - DeCoursey, KY shop and noted, "The Advanced class was thoroughly informative and a great learning experience."

The AAR QAC governs AAR MSRP Section J, M-1003 Specification for Quality Assurance and is committed to promoting continuous improvement within those QMS that navigate the rail industry. One of the primary goals of AAR QAC training courses is to better equip those responsible for implementing and overseeing those QMS.



The AAR Quality Assurance Committee plans to make our training courses more robust in the 2018, so stay tuned to our FAQ page: <http://www.aar.com/standards/FAQ.html>



### Interested in being a host training facility?

The QAC is seeking host M-1003 facilities for AAR Advanced Auditor training classes. For hosting the class, your company will receive (2) complimentary registrations and worthy insight on the health of your QMS. The AAR has been conducting classes at AAR member companies for many years now with very positive results. If you're interested in having your facility participate, contact Don Guillen and Sheena Prevette at [QA@aar.com](mailto:QA@aar.com).



## AUDITOR OBSERVATIONS

The AAR QAC Committee members periodically observe audits performed by AAR Mechanical Inspection Department, CR Quality Services and International Quality Consultants. Coordination of these observations occurs through the QA Program Coordinator and auditing agency. The facility will be informed of the observation prior to commencement of the audit.

The committee member's observation is a normal part of auditor's evaluation and in no way reflects upon the facility, nor is there any additional cost associated. Observers will not participate with the audit process. Additionally, the AAR QAC member should not inject opinions or ask questions about findings.

## RSI QUALITY ASSURANCE COMMITTEE CHAIR

Submitted by Tom Simpson - RSI

Gary K. Alderson, Manager, Quality Processes for AllTranstek, L.L.C. has been named as Chairman of the RSI Quality Assurance Committee (QAC). "Gary's background and enthusiasm for the betterment of the industry's quality effort made appointing him to lead the committee an easy decision", said Simpson.

Alderson was previously employed as Manager – Quality Processes at Union Tank Car Company. His background includes 30 years of Quality Assurance and Nondestructive Testing (NDT) experience in the tank car industry. His experience includes 16 years of quality assurance and NDT management experience in tank car manufacturing with ACF Industries and American Railcar Industries, and 10 years of quality and NDT management experience in the tank car repair industry. Gary serves on various AAR task force committees and is a member of the RSI Quality Assurance Committee. Gary also represents the RSI by participating in the RSAC Working Group on Hazardous Materials. Gary holds many industry technical certifications including certification as an ASNT NDT Level III, AWS Certified Welding Inspector, a National Association of Corrosion Engineers Level I, and an AAR M1003 Qualified Auditor.

Alderson takes over for previous QAC Chairman, Ed Weedmark. Weedmark, who is a Quality Manager at Amsted Rail, had been the committee's chair since it was re-formed in August of 2015. "We're extremely appreciative of Ed's service and commitment to the committee", said RSI's Simpson. "Ed volunteered for the difficult task of creating an identity for this committee. He really put us on the right track in representing the best interests of railway suppliers and their quality efforts."

The next committee meeting will be in Fort Worth during the AAR Quality Auditors conference. Also at that time, the committee will meet with the AAR Quality Assurance Committee.



## HOW ARE CHANGES TO AAR MSRP'S AND FIELD MANUAL RULES CHANGED?

Submitted by Bob Wolbert – Progress Rail

Changes to MSRP and Interchange Rules follow prescribed methods that are available for your review and use. Let's review the three sources of origination and suggested format for offering your input to improve these items.

### **1. Revisions to MSRP's**

The MSRP Section AS (Administrative Standards Supplement) Standard S-050 states a railroad, car builder, locomotive builder, component manufacturer, private car or locomotive owner, or any other person or organization may submit in writing a proposed standard, recommended practice, or specification, or a change to existing standards, recommended practices, or specifications, as appropriate. Submissions or requests for changes / interpretations can be sent to the attention of AAR Chief, Technical Standards. Suggested changes or new document submissions should include the document name, current text and proposed text with rationale supporting the change. New submissions should likewise follow the same format used in existing documents and include any additional supporting data.

### **2. Revisions to Interchange Rules**

Revisions to Interchange Rules are governed by the AAR Office Manual rules 121 and 123.

Rule 121 addresses the role of the Arbitration and Rules Committee with respect to requested changes as:

B.2 Give consideration to request for changes, amendments or additions and revise the AAR Interchange Rules where necessary

C.1.b While avoiding technical judgements, perform impact assessments of proposed changes to AAR Interchange Rules to determine the significance of economic and safety factors, and resolve differences with sponsoring Committees in order to avert advancement to the Technical Services Working Committee to settle disputed items.

Rule 123 provides the method (in writing) and who to send requests for rule change or interpretations of existing rules (Executive Director, Rules and Standards) in addition to assigning responsibility for considering and acting on them by the Arbitration and Rules Committee. Additional information regarding the process steps and requirements are detailed within this rule. Any requests for changes or additions should follow the directions given in the example above.

### **3. Circular Letters and Solicitation for Comment**

The more common and visible change process occurs through the AAR Circular Letter published and distributed to subscribers of the AAR Circular Letters which can be accessed via the link provided.

<https://www.aar.org/myAAR/ePubs/Pages/AAR-Circular-Letters.aspx>

The norm for this process includes a circular letter request for comment that includes the provision of the current text / figures / tables as appropriate and the proposed revisions, additions and removals. With that in mind, the same method should be used to provide input and include the rationale / justification for your change or interpretation request. Each circular includes the “respond to” information and the time limit for providing a response, typically 30 days.

## CALENDAR OF EVENTS AND IMPORTANT LINKS

### 2018 Calendar of Events

Training	Date	Location
<b>AAR Quality Auditor and Industry Conference</b>	Jan. 22 - 25	Fort Worth, TX
<b>Basic Auditor Training</b>	Feb 27 – Mar 1	New Orleans, LA
	July 24 - 26	Norfolk, VA
	Aug 21 - 23	Orlando, FL
	Sept 25 - 27	Long Island, NY
	Sept 25 - 27	Guadalajara, MX
	Nov 6 - 8	San Diego, CA
	Dec 4 - 6	Mexico City, MX
<b>Advanced Auditor Training</b>	Mar 6 - 8	Cleveland, TX
	May 15 - 17	Lincoln, NE
	Jun 12 - 14	Skokie, IL
	Oct 30 – Nov 1	Topeka, TX
<b>Root Cause &amp; Corrective Action</b>	Apr 3 - 4	New Orleans, LA
	Jun 19 - 20	Roanoke, VA

An AAR Circular Letter will be issued several months prior to each class announcing when registration is open.

### Important Links

[Registry of M-1003 Certified Companies](#)

[M-1003 Frequently Asked Questions](#)

[AAR M-1003 Certification on-line Application](#)

[AAR M1003, Section J Specification for Quality Assurance](#)

[AAR Training Schedule](#)

[AAR Circulars](#)

[MSRP Publication Current Revision Status](#)

[AAR Online Material Nonconformance Reporting System \(Chapter 7\)](#)

[Railway Supply Institute](#)

**Be sure to register for the AAR's 30<sup>th</sup> Quality Assurance Auditor and Industry Conference!** Click on the link below to get all the details:

<http://regonline.com/2018qaconference>

**The AAR /RSI Joint QA Newsletter is provided through the efforts of AAR Quality Assurance Committee and Railway Supply Institute Quality Assurance Committee members in an effort to provide information that is important to our industry in support of improving the quality of products and services provided. You can support this process by submitting your questions and ideas for improvement to [QA@aar.com](mailto:QA@aar.com).**

## AAR QUALITY ASSURANCE AUDITOR AND INDUSTRY CONFERENCE

Submitted by Sheena Prevette – Transportation Technology Center, Inc.

Each year, the Association of American Railroad's Quality Assurance Committee hosts the annual AAR Quality Assurance Auditor and Industry Conference. The 2018 conference is scheduled for January 23<sup>rd</sup> -25<sup>th</sup> at the Historic Hilton Fort Worth in Fort Worth, Texas.

Though the conference was originally organized as a tool to train AAR Accredited Auditors, it has evolved to become an informative symposium attended by all levels of railroad professionals. The presentations cover an array of Quality Management System subject matter including Lean Thinking & Quality, How to Audit Coatings & Linings, Root Cause Analysis & Corrective Action and Evaluating a Contractor's Supplier Controls. Additionally, both the Equipment Engineering Committee (EEC) and Wheels, Axles, Bearings and Lubrication (WABL) are scheduled to provide industry updates.

The AAR QAC welcomes you to attend the AAR's 30<sup>th</sup> Quality Assurance Auditor and Industry Conference. Registration can be completed at the following link: <http://regonline.com/2018qaconference>

For additional information, please contact:

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