

Association of American Railroads

SAFETY AND OPERATIONS

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MANUAL OF STANDARDS AND RECOMMENDED PRACTICES

ADMINISTRATIVE SUPPLEMENT ADMINISTRATIVE STANDARDS

S-010, S-046, S-050, S-051, S-060

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**AAR Manual of Standards and Recommended Practices
Administrative Specifications**

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**AAR Manual of Standards and Recommended Practices
Administrative Specifications**

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TO THE USER

This Administrative Supplement contains standards that apply to and should be considered part of every section of AAR's *Manual of Standards and Recommended Practices*.

USER'S GUIDE

This Administrative Supplement contains five standards. It consists of the following:

- **Preface:** A listing of the subjects covered in the individual volumes making up this manual. This preface is part of each section.
- **Table of Contents:** Identification of the five standards by page order.
- **Table of Contents in Numerical Sequence:** Identification of the five standards by their numerical prefix.
- **Administrative Standards:** The body of this volume deals specifically with the administrative procedures as required in the *Manual of Standards and Recommended Practices*.
- **Revised Page Dates:** The latest revision date of each page in this Administrative Supplement.

RELATED SECTIONS

This Administrative Supplement serves as a supplement to all sections making up the *Manual of Standards and Recommended Practices*.

RESPONSIBILITY

The coverage of this Administrative Supplement is the responsibility of the AAR technical committees.

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PREFACE

The Manual of Standards and Recommended Practices of the Technical Services Division, Association of American Railroads, is issued by authority of the Management Committee of the Division and includes all regularly adopted specifications, standards, and recommended practices of the Association of American Railroads.

The Manual is composed of the following sections:

- Section A, Part I—Table of Contents, Alphabetical and Numerical Index of Sections “A” through “M” inclusive
- Section A, Part II—Miscellaneous Specifications, Standards (010 Series), and Recommended Practices (010 Series)
- Section A, Part III—Vacant
- Section B—Couplers and Freight Car Draft Components (100 Series)
- Section C—Car Construction—Fundamentals and Details (200 and 2,000 Series)
- Section C, Part II, Volume 1—Specifications for Design, Fabrication, and Construction of Freight Cars, M-1001
- Section C, Part II, Volume 2—Appendices M-1001
- Section C, Part III—Specifications for Tank Cars, M-1002
- Section D—Trucks and Truck Details (300 and 3,000 Series)
- Section D, Part II—Code for Designating Design Features for Side Frames and Truck Bolsters (300 and 3,000 Series)
- Section E—Brakes and Brake Equipment (400 and 4,000 Series)
- Section E, Part II—Vacant
- Section F—Vacant
- Section G—Wheels and Axles (600 Series)
- Section G, Part II—Wheel and Axle (Shop) Manual (600 Series)
- Section H—Journal Bearings and Lubrication (700 Series)
- Section H, Part II—Roller Bearing (Shop) Manual (700 Series)
- Section H, Part III—Lubrication (Shop) Manual (700 Series)
- Section I—Vacant (Reference Multi-Level Manual)
- Section J—Specification for Quality Assurance, M-1003
- Section K—Railway Electronics
- Section L—Lettering and Marking of Cars (900 Series)
- Section M—Locomotives and Locomotive Equipment

The specifications are designated with an “M” prefix, e.g., M-900. Standards are prefixed “S,” e.g., S-900, and Recommended Practices carry the prefix “RP,” e.g., RP-900. The prefix “S” or “RP” will be followed by a three- or four-digit number. The first digit, 0 through 9, indicates the section in which the standard or recommended practice can be found, as shown in parentheses above.

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**FIELD TEST REQUIREMENTS FOR MATERIALS, DEVICES, AND
PRODUCTS MANUFACTURED TO AAR SPECIFICATIONS
BUT HAVING NO PREVIOUS SERVICE EXPERIENCE
ON AAR MEMBER ROADS**

S-010-00

These Standard and Recommended Practice specifications represent the minimum acceptable requirements. All suppliers of products and materials are urged to exceed the intent of these requirements as much as possible. Many devices covered by the specifications have been developed through the help of extensive field experience and tests. Each specification contained herein should be read as including an additional requirement for satisfactory performance under a field test if such test is deemed appropriate after consideration by AAR.

When inspection of manufacturing processes or facilities of companies manufacturing components for use on cars or locomotives in interchange service involves travel of AAR representatives, the out-of-pocket expenses involved to conduct such required inspections will be paid by the company offering such products for this service.

**DEFINITIONS OF TERMS FOR THE AAR *MANUAL OF STANDARDS AND
RECOMMENDED PRACTICES***

S-046-00

Adopted: 1983; Revised: 1986, 1987, 1995, 2000

1.0 SCOPE

This compilation of terminology covers terms commonly referenced relative to specifications, standards, and recommended practices of the AAR *Manual of Standards and Recommended Practices*.

Each of these definitions is based upon the usage and language, meaning, and reasons behind the development of specifications, standards, and recommended practices by the AAR through its standing technical committees. These definitions reflect past-precedent practice and current designation of the limits of acceptability for facilities, material, designs, products, devices, locomotives, and rolling stock equipment intended for North American interchange service or other specifically defined North American railroad service. The sponsoring technical committee is responsible for ensuring that decisions regarding the mandatory nature of the specifications are made.

Unless otherwise specified, all references to standards or specifications (AAR, ASTM, etc.) refer to the latest revision.

2.0 STANDARD

A specification, procedure, practice, definition, design, product, or device that is approved by the AAR to serve as the requirement for use in unrestricted interchange service. Any manufacturer producing material to the requirements of an AAR standard must provide evidence of compliance upon request.

3.0 ALTERNATE STANDARD

A product or device that is approved by the AAR to serve as an acceptable requirement for use in interchange services in lieu of the standard and is equal to or exceeds the requirements of the AAR standard. Any manufacturer producing material to the requirements of an AAR alternate standard must provide evidence of compliance upon request.

4.0 FORMER STANDARD

A specification, design, product, or device that was previously designated as standard or alternate standard and has been superseded and continues to be acceptable in interchange service, but may be subject to prescribed conditions.

5.0 OBSOLETE STANDARD

A specification, procedure, practice, definition, design, product, or device that was previously designated as standard or alternate standard but has been superseded and is restricted in interchange service subject to prescribed conditions.

6.0 APPROVAL WITHDRAWN

The status of a formerly approved design, product, device, or facility that has been found to be no longer acceptable for use on or involving equipment in interchange service. When applicable, removal from interchange service may be required within prescribed time limits.

7.0 EFFECTIVE DATE

The date a standard, specification, design, product, or device must be placed in effect for equipment in interchange service.

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8.0 RECOMMENDED PRACTICE

A specification, design, product, or device that is accepted by the AAR for use on locomotives and rolling stock. It is not considered a mandatory requirement. A recommended practice shall not substitute for a standard or alternate standard.

9.0 SPECIFICATION

Detailed description of requirements for a design, product, device, or facility. These requirements may pertain to performance, methods of fabrication, material, quality control, laboratory and field test procedures, or other criteria. Specifications are not considered mandatory unless designated as a “standard” by the sponsoring committee.

10.0 APPROVED

The status of an item of equipment, practice, procedure, design, product, device, or facility that has been reviewed by the AAR and its standing technical committees and found to meet the applicable requirements of an AAR specification, standard, alternate standard, or recommended practice.

11.0 CONDITIONALLY APPROVED

The status of a practice, procedure, item of equipment, design, product, device, or facility that has been reviewed by the AAR and its standing technical committees and found to meet the applicable requirements for use in interchange service with restrictions imposed as to quantity, period of service, type of application, test conditions, or other limitations as stated in the applicable standard, specification, or alternate standard. This term is used in lieu of former status “Approved for Test.”

12.0 DISCONTINUED STANDARD

A standard, alternate standard, former standard, or obsolete standard that is no longer required for interchange service.

**PROCEDURES FOR CONSIDERING PROPOSALS REGARDING CHANGES
TO THE MANUAL OF STANDARDS AND RECOMMENDED PRACTICES**

S-050-00

Adopted: 1983; Revised: 1989, 1995, 2000

1.0 SCOPE

1.1 This standard outlines the procedures under which all proposed changes to the Manual of Standards and Recommended Practices will be processed. Changes to the AAR Interchange Rules are processed in accordance with Office Manual Rules 121 and 123.

1.2 A railroad, car builder, locomotive builder, component manufacturer, private car or locomotive owner, or any other person or organization may submit a proposed new standard, recommended practice, or specification, or a change to existing standards, recommended practices, or specifications, as appropriate, in accordance with Standard S-060. Such submission will be in writing.

2.0 CONSIDERING PROPOSALS

2.1 After review, the Chief, Technical Standards, will assign the proposal to the appropriate technical committee for review.

2.2 The proposal will be considered by the technical committee. During such consideration, the committee may require the proponent to submit additional information or to appear before the committee to explain the proposal in detail or to answer questions not resolved in the written material.

3.0 PROPOSAL REJECTION

In the event a proposal is rejected, notice of such action will be sent to the proponent accompanied by a written explanation addressing the specific reasons for the rejection. The proponent may resubmit the proposal with any additional information available for reconsideration.

4.0 SOLICITATION OF COMMENTS

4.1 In the event it is decided to progress a proposal, notice of the proposed change, along with the supporting rationale, will be published in an AAR Circular Letter soliciting comments from interested parties. Comments are to be submitted to the AAR within 30 days of the date of the Circular Letter.

4.2 All comments will be considered prior to taking final action on the proposal. Final committee action will be published in an AAR Circular Letter, explaining the action of the committee. Commenters will be advised of the committee's response to comments.

5.0 COMMITTEE ACTIONS

When deemed necessary, final action of the technical committee will be submitted for approval to the Technical Services Working Committee. By majority vote, the members of the Technical Services Working Committee may direct that the final action be submitted to letter ballot vote of the AAR member railroads.

6.0 PUBLICATION

New or amended standards and recommended practices approved through the foregoing procedures will be published in the next succeeding revision of the appropriate section of the Manual of Standards and Recommended Practices. Implementation of new or amended standards and specifications may be announced by Circular Letter prior to their publication in the manual.

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**CONDITIONS GOVERNING WITHDRAWAL OF
AAR APPROVAL OF FREIGHT CAR AND LOCOMOTIVE
COMPONENTS AND PRODUCTS**

S-051-00

Adopted: 1983; Revised: 1988, 1995, 1999, 2000

1.0 SCOPE

This specification is intended to ensure the continuation of quality manufactured and reconditioned freight car and locomotive components and products by requiring reconsideration of AAR approval status when a manufacturing or reconditioning entity changes essential facets of its organization.

2.0 WITHDRAWAL OF AAR APPROVAL

2.1 A change in ownership of a manufacturing or reconditioning facility requires reconsideration of AAR approval status. Certificates of approval held by the original company for freight car and locomotive components or products cannot be automatically transferred to the new owner, except as provided for in this specification.

2.2 Whenever a manufacturing or reconditioning company ceases production for a period exceeding one year, changes its process, or moves its operation from one location to another, approval certificates or other AAR approval will be withdrawn, except as provided for in this specification or the applicable component or product specification.

3.0 NOTIFICATION OF CHANGES

It is the responsibility of the manufacturing or reconditioning company (new ownership under conditions covered by paragraph 2.1) to initiate a new certification request and/or test procedure within 90 days of changes outlined in paragraph 2.0. Such notification is to include a complete description of the changes that have been made in the manufacturing or reconditioning location, process, or production and engineering personnel.

4.0 RECERTIFICATION

The manufacturer or reconditioner must meet the approval requirements of the AAR specification covering the particular item(s) affected by the changes unless the appropriate AAR technical committee determines that the changes made as described in paragraph 3.0 will result in quality equal to or better than that of the previous ownership, approved manufacturing or reconditioning location, or process.

APPLICATION FOR COMPONENT APPROVAL PROCEDURE

S-060-00

Adopted: 1987; Revised: 1989, 2000

1.0 SCOPE

1.1 This standard outlines the procedures governing application for approval of components, rolling stock, and locomotive equipment contained in the Manual of Standards and Recommended Practices. This standard should be followed when AAR approval is required by the individual product specification.

1.2 The individual product specification should be consulted for additional approval requirements that may be contained therein. When procedures outlined in this standard conflict with approval procedures contained in the individual product specification, the individual product specification shall take precedence.

1.3 It is the responsibility of the manufacturer to ensure that all suppliers of subcomponents meet AAR requirements.

2.0 APPLICATION FOR APPROVAL OR CONDITIONAL APPROVAL

2.1 The request for approval and all other correspondence regarding approval shall be directed to the Association of American Railroads, c/o Chief, Technical Standards, Transportation Technology Center, Inc., P.O. Box 11130, 55500 DOT Road, Pueblo, CO 81001.

2.2 A separate application for approval shall be made for each different design of product for which approval is requested. Each application shall designate the specification under which approval is requested, including the specification revision date (year).

2.2.1 Should the applicant determine that no existing specification clearly covers the product, the request for approval shall so state and request direction from the responsible AAR technical committee for handling of such circumstances. In such situations, manufacturers must submit proposed testing criteria for review by the AAR.

2.2.2 With the approval of the responsible technical committee, previously approved product designs may be used as a basis for approval of a related product on a case-by-case basis. In instances not affecting design, material, or performance, such requests for approval must cite the product on which such a request is based. Applicant must provide details of variances from the previously approved design and include a statement to the effect that no change in design, material, or performance will be made.

2.3 Each request for approval must be accompanied by all relevant information, including drawings, calculations, material listings, test data, and other information pertinent to the approval. Drawings shall be submitted in 8 1/2" x 11" size. For drawings not submitted in 8 1/2" x 11" size, a sufficient number of copies must be provided that are folded to approximately that size (contact TTCI). All material identified as confidential or proprietary will be handled as such by the responsible technical committee and AAR and TTCI staff.

2.4 The applicant shall identify the country of origin of the product if manufactured or assembled outside North America.

2.5 If the applicant utilized more than one facility to manufacture the product, a separate request for approval is required for each facility.

2.6 Applicant is responsible for all inspection and testing costs, including transportation and out-of-pocket expenses for the official AAR representative fee (\$750 per day), and AAR service fee (see

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Office Manual Appendix E for appropriate service fee). Unless otherwise specified in the individual product specification, application should be accompanied by a check in the amount estimated to cover the official observer/inspector's daily fee (estimated number of days to conduct test/inspection multiplied by \$750 per day). Request for approval must state that the applicant will reimburse AAR/TTCI for all costs that exceed the amount of the check. Settlement between the AAR or TTCI and the applicant for actual inspection and test costs must be made prior to issuance of conditional approval or approval. The AAR/TTCI will refund any unused portion of the advance payment. For testing at the Transportation Technology Center, TTCI should be contacted for estimated costs and payment information.

2.7 Upon receipt of request for approval, TTCI will acknowledge receipt and forward the request for approval and accompanying materials to the appropriate AAR technical committee for review.

3.0 TEST/INSPECTION PROCEDURES

3.1 If testing or inspection is required, TTCI Technical Standards, on behalf of the AAR, will arrange for scheduling of such test or inspection, including selection of test specimens, as follows:

3.2 After request for approval is acknowledged, test procedures and a proposed test schedule must be submitted to the Chief, Technical Standards, sufficiently in advance of testing to permit review of the test schedule and assignment of an official AAR representative.

3.3 All testing for the purpose of obtaining AAR approval or certification must be conducted at AAR-designated facilities or at an AAR-approved alternate location in North America. In the event special circumstances preclude testing in North America, AAR approval must be requested in writing. Certification or approval testing must be witnessed by at least one designated AAR representative.

3.4 Upon review and acceptance of the test proposal, the Chief, Technical Standards, will arrange for an official AAR representative. A time period of no less than three weeks should be allowed between the request for and assignment of an official AAR representative.

3.5 Certification tests are to be conducted on cars, car components, locomotives, or locomotive components in the configuration that is to be offered for interchange service. Certification tests are not to be used for product development. Any design or process changes or adjustments made during or after certification testing must be reported to the AAR.

3.6 A report based on results of the tests will be provided to the applicant and to the AAR committee having jurisdiction over the specification under which the tests are conducted. The AAR or TTCI Technical Standards will advise the proponent of the results of committee action.

3.7 For laboratory tests performed at AAR/TTCI facilities or other AAR-approved facilities, the applicant may not have more than two technical observers present unless written approval is obtained in advance. These observers will not be permitted to participate in the tests. Representatives of other manufacturers will not be permitted to be present during tests except by permission of the applicant of the device being tested.

3.8 The applicant's representative may discontinue the test and withdraw the device at any time. This action must be confirmed in writing within 24 hours to the AAR.

3.9 Devices to be tested at AAR/TTCI facilities shall be shipped prepaid as directed by the AAR/TTCI in such a manner as to be protected against exposure, damage, and loss of parts.

3.10 The responsible AAR technical committee will exercise such supervision over the tests as considered necessary in order to adhere to the test procedures specified in the applicable individual product specification.

4.0 CONDITIONAL AND UNLIMITED APPROVAL

As a result of the appropriate AAR technical committee's satisfactory review of the application and all available test or inspection results, conditional approval or approval will be granted in accordance with the individual product specification and the applicant so notified.

4.1 Conditional Approval

4.1.1 In order to provide a uniform method of evaluating service experience, the AAR often grants conditional approval of specific allotments of equipment for test in North America interchange to determine actual service performance. Reports are required to identify the number of units distributed, along with subsequent service performance experience. This information is used by the AAR in consideration of requests for unlimited approval, new location of manufacture, and change in design or material.

4.1.2 When stipulated in the AAR letter of conditional approval, the manufacturer is required to furnish semiannually a distribution and service report that is due within thirty (30) days of the January 1 and July 1 reporting dates. The distribution portion must include the total distribution at the end of the reporting period. The service performance portion must include all known malfunctions or difficulties experienced during the reporting period, as well as the action taken to correct such difficulties or malfunctions.

4.2 Approval

In the instance where conditional approval is granted, after a two-year service test period or other period specified by the individual product specification, the manufacturer may request unlimited approval (also called "approval"). The appropriate AAR technical committee shall review distribution and service reports covering the test period, and may require further laboratory testing or inspection of field test devices. Based upon the technical committee's review of service reports and reports of additional testing (if required), unlimited approval will be granted or denied and the applicant so notified.

5.0 WITHDRAWAL OR DENIAL OF APPROVAL

5.1 In the event that the manufacturer fails to respond to AAR correspondence within a reasonable period of time (60 days from the date of correspondence), or if the manufacturer fails to comply with the foregoing reporting requirements, the AAR may consider withdrawal of conditional approval or unlimited approval of the device, product, or equipment.

5.2 In the event that conditional approval is pending and the manufacturer fails to respond to AAR correspondence within a reasonable period of time (60 days from the date of AAR correspondence), the technical committee may terminate consideration of the application for conditional approval, with resultant denial of approval. Denial of conditional approval for this reason may require the applicant to begin the application process again and repeat all required testing if the applicant desires to gain conditional approval of the device at some future date. This determination will be made by the AAR technical committee when the subject is reopened.

5.3 The technical committee may withdraw conditional approval or approval at any time, on the basis of unsatisfactory service performance or for safety reasons. In such case, the manufacturer will be notified of reasons for pending withdrawal of approval and afforded the opportunity to correct such deficiencies prior to withdrawal of approval.

6.0 APPEAL PROCESS

6.1 If conditional approval or approval is denied by the technical committee, the applicant will be notified of the reasons for denial. The applicant may appeal the committee's decision by responding in writing to the AAR, Chief Technical Standards, TTCI, P.O. Box 11130, 55500 DOT Road, Pueblo, CO 81001. Applicant's correspondence must address all reasons for denial of approval.

6.2 At the request of the applicant, and at the applicant's expense, the AAR technical committee will meet with the applicant during a regularly scheduled committee meeting or at a time desig-

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nated by the committee. Requests for meetings with the AAR technical committee should be received by the Chief, Technical Standards, TTCI, at least 30 days prior to the regularly scheduled meeting of the committee.

7.0 REQUEST FOR APPROVAL TO CHANGE OR MODIFY CONDITIONALLY APPROVED OR APPROVED EQUIPMENT

7.1 A manufacturer must submit in writing a request for approval to change or modify the design, manufacture of parts, location of manufacture or assembly, or material of conditionally approved or approved equipment. Changes cannot under any circumstances be introduced into production before the AAR has approved the change and the manufacturer advised in writing of approval by the AAR.

7.2 In the event a company ceases production of an approved component for a period exceeding six months, the AAR must be advised in writing. Reapproval under this specification may be required as determined by the responsible technical committee.

8.0 TRANSFER OF APPROVALS

8.1 Specific product approval granted to a company by name is not automatically transferable to another company if change of ownership occurs. Changes in ownership require a reconsideration of approval and must be submitted in writing to the AAR. The responsible AAR technical committee will consider the nature of the request for transfer of approval and determine if reapproval proceedings or other courses of action are necessary.

8.2 It is the responsibility of the new owner to notify the AAR within 30 days of the change of ownership. This notification will initiate technical committee consideration of the transfer of approval.

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APPENDIX A

REVISED PAGE DATES

Shown below are the current dates applicable to each page of this administrative supplement to the *AAR Manual of Standards and Recommended Practices*. The printed page date is shown in either the lower left or lower right hand corner of the page. In the event a new specification, standard, or recommended practice does not include an effective date, the printed page date will constitute the effective date.

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