

Association of American Railroads

SAFETY AND OPERATIONS

MANUAL OF STANDARDS AND RECOMMENDED PRACTICES

ADMINISTRATIVE STANDARDS SUPPLEMENT

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

**ISSUE OF 2014
Effective June 2014**

Compiled under the direction of the Committees responsible for the subjects shown herein.

**Published by
The Association of American Railroads
425 Third Street, SW., Washington, D.C. 20024**

© Copyright Association of American Railroads

Printed in U.S.A.

Copyright © 2014 by the Association of American Railroads (AAR)
Safety and Operations
425 Third Street SW
Washington, DC 20024

All rights reserved, including the right to reproduce this book in any form. It is the AAR's intention that this publication be used to promote the objectives of the AAR and its members for the safe, efficient, and uniform interchange of rail equipment in North America. To this end, only excerpts of a rule or specification may be reproduced by the purchaser for their own use in promoting this objective. No portion of this publication may be displayed or otherwise made available to multiple users through any electronic distribution media including but not limited to a local area network or the Internet. No portion may be sold or used for advertisement or gain by any entity other than the AAR and its authorized distributor(s) without written permission from the AAR.

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

ORDERING INFORMATION

Copies of the various sections of this manual can be obtained as follows:

**ORDERS FOR
PUBLICATIONS**

Publications Department
Transportation Technology Center, Inc.
P.O. Box 11130
55500 DOT Road
Pueblo, CO 81001
Email: pubs@aar.com
Phone: Toll-free 877-999-8824, Direct 719-584-0538
Fax: 719-584-7157
TTCI Web page: <http://www.aar.com>
Online ordering: <http://www.aarpublications.com/>

**CIRCULAR
LETTER
SUBSCRIPTIONS**

Subscriptions to Circular Letters of the AAR Safety and Operations' Technical Services are available in hardcopy or electronic format (online access via AAR's Web page at <http://aacirculars.aar.org>). Circulars are issued at least monthly and include industry letter ballots and results, arbitration decisions, notification of rules and standards revisions, industry early warning and maintenance advisories, and other information related to mechanical rules and standards. Subscriptions are valid for one year. For ordering information, contact the following:
Phone: Toll-free 877-999-8824, Direct 719-584-0538
Fax: 719-584-7157
Email: pubs@aar.com
AAR Web page: <http://www.aar.org>
TTCI Web page: <http://www.aar.com>

**MSRP-A1
INDEX**

The MSRP-A1 Table of Contents is an inclusive index of all MSRP specifications, standards, and recommended practices. It is available online at <http://www.aar.com/standards/publications.php>. This easy-to-access document is a convenient way to quickly identify in which manual a specific document resides. The index is updated weekly, enabling the user to see in "real-time" which documents have been updated via Circular Letter.

**MSRP-AS
ADMINISTRATIVE
STANDARDS
SUPPLEMENT**

MSRP-AS serves as a supplement to all MSRP sections and is available as a free download at <http://www.aar.com/standards/publications.php>. All users are governed by the administrative standards in MSRP-AS in addition to the standards and specifications in each section of the *Manual of Standards and Recommended Practices*.

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

THIS PAGE LEFT BLANK INTENTIONALLY

AAR Manual of Standards and Recommended Practices Administrative Standards Supplement

TO THE USER

This 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 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*.

RELATED SECTIONS

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

RESPONSIBILITY

The coverage of these administrative standards is the responsibility of the AAR technical committees.

AAR Manual of Standards and Recommended Practices

Administrative Standards Supplement

PREFACE

The *Manual of Standards and Recommended Practices* of the Safety and Operations Department, 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 AS—Administrative Standards Supplement serves as a supplement to all *MSRP* sections (this is available as a free download at <http://www.aar.com/standards/publications.php>)
- Section A—Table of Contents, Alphabetical and Numerical Index of Sections B through S inclusive (this is available as a free download at <http://www.aar.com/standards/publications.php>)
- Section B—Freight Car Draft Components (100 Series)
- Section C—Car Construction—Fundamentals and Details (200 and 2000 Series)
- Section C, Part II—Design, Fabrication, and Construction of Freight Cars, M-1001
- Section C, Part III—Specifications for Tank Cars, M-1002
- Section D—Trucks and Truck Details (300 and 3000 Series)
- Section E—Brakes and Brake Equipment (300, 400, 3000, and 4000 Series)
- Section E, Part II—Electronically Controlled Brake Systems (4200 Series)
- Section F—Sensors
- Section G—Wheels and Axles (600 Series)
- Section G, Part II—Wheel and Axle Shop Manual (600 and 700 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—Intermodal Equipment Manual
- Section J—Specification for Quality Assurance, M-1003
- Section K, Part I—Railway Electronics Systems Architecture and Concepts of Operation (9000 Series)
- Section K, Part II—Locomotive Electronics and Train Consist System Architecture (9100 Series)
- Section K, Part III—Wayside Electronics and Mobile Worker Communications Architecture (9200 Series)
- Section K, Part IV—Office Architecture and Railroad Electronics Messaging (9300 Series)
- Section K, Part V—Electronics Environmental Requirements and System Management (9400 Series)
- Section K, Part VI—Railway Data Management and Communications (9500 Series)
- Section L—Lettering and Marking of Cars (900 Series)
- Section M—Locomotives and Locomotive Interchange Equipment (500 and 5000 Series)
- Section N—Multi-Level Manual (800 Series)
- Section S—Casting Details
- Section S, Part II—Truck Details and Casting Codes (300 and 3000 Series)
- Section S, Part III—Coupler and Yoke Details (100 Series)

Specifications are designated with an “M” prefix (e.g., M-900). Standards are prefixed “S” (e.g., S-900). Recommended Practices carry the prefix “RP” (e.g., RP-900).

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

ALPHABETICAL TABLE OF CONTENTS

Subject	Standard	Page
Application for Component Approval Procedure	S-060	AS[S-060]9
Conditions Governing Withdrawal of AAR Approval of Freight Car and Locomotive Components and Products	S-051	AS[S-051]7
Definitions of Terms for the AAR Manual of Standards and Recommended Practices	S-046	AS[S-046]3
Field Test Requirements for Materials, Devices, and Products Manufactured to AAR Specifications but Having No Previous Service Experience on AAR Member Roads	S-010	AS[S-010]1
Procedures for Considering Proposals Regarding Revisions to the Manual of Standards and Recommended Practices	S-050	AS[S-050]5

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

NUMERICAL TABLE OF CONTENTS

Standard	Subject	Page
S-010	Field Test Requirements for Materials, Devices, and Products Manufactured to AAR Specifications but Having No Previous Service Experience on AAR Member Roads	AS[S-010]1
S-046	Definitions of Terms for the AAR Manual of Standards and Recommended Practices	AS[S-046]3
S-050	Procedures for Considering Proposals Regarding Revisions to the Manual of Standards and Recommended Practices	AS[S-050]5
S-051	Conditions Governing Withdrawal of AAR Approval of Freight Car and Locomotive Components and Products	AS[S-051]7
S-060	Application for Component Approval Procedure	AS[S-060]9

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

S-010

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

**Standard
S-010**

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.

THIS PAGE LEFT BLANK INTENTIONALLY

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

S-046

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

**Standard
S-046**

Adopted: 1983; Last Revised: 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.

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.

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

S-050

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

**Standard
S-050**

Adopted: 1983; Last Revised: 2014

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 AAR Technical Services Mechanical Standing 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.

2.3 In handling revisions to standards of the *AAR Manual of Standards and Recommended Practices*, the AAR Technical Services Mechanical Standing Committee will give consideration to all information available, including minority reports, estimated cost of implementation and cost benefit analyses where applicable, and decisions referenced in paragraph 2.5.

2.4 Except as noted below, revisions to the *AAR Manual of Standards and Recommended Practices* must be accompanied by an estimate of the cost to implement the revision. When the total estimated cost of implementing a revision exceeds either \$5 million in any calendar year or \$50 million net present value over 15 years, or if the conditions of paragraph 2.4.1 are met, a full cost benefit analysis shall be required.

2.4.1 A cost benefit analysis shall be prepared upon the written request of any member of the committee sponsoring the proposal, regardless of whether or not the above thresholds are reached. The written request must include supporting justification and/or the committee member's rationale. The request must be received by the AAR Chief Technical Standards within 10 business days of the sponsoring committee vote to go forward with a rule proposal. A reasonable request with supporting justification and/or rationale cannot be denied.

2.4.2 A cost benefit analysis will not be required for any of the following types of changes:

- Changes required to address a product defect
- Changes having no cost effect on private car owners or suppliers
- Changes that are editorial in nature
- Standards mandated or referenced by government regulation, e.g., reflective sheeting or S-486 air brake testing; except that for situations having multiple solutions to a government regulation mandate, a cost benefit analysis will be used to select the solution

2.4.3 A rule revision under this item may be implemented only if the cost benefit analysis performed in accordance with this rule shows that the aggregate benefits exceed 75% of its cost over the duration of the cost benefit analysis and

- the total Equipment Maintenance Improvement Benefit is at least 65% of the cost identified in the cost benefit analysis; or
- the total Safety Benefit is at least 30% of the cost identified in the cost benefit analysis; or
- the combined Equipment Maintenance Improvement Benefit and the Safety Benefit is at least 65% of the cost identified in the cost benefit analysis.

2.4.4 If none of the preceding thresholds is met, the revision will not be implemented unless there is an agreement between the AAR and the Associate Advisory Board's Car Owner Committee, and the agreement includes a funding scheme for implementation of the standard revision.

2.5 Any member of the sponsoring AAR committee who disputes the application of the cost benefit analysis process used in the adoption of a revision to an AAR interchange rule or standard may appeal within 30 days to the Arbitration and Rules Committee or the Equipment Engineering Committee, as applicable. Decisions of either the Arbitration and Rules Committee or Equipment Engineering Committee may be appealed to the Technical Services Working Committee. Decisions of the Technical Services Working Committee may be submitted for binding arbitration to a Board of Arbiters prior to final committee action on the proposal. All such appeals shall be made in accordance with the process and procedures set forth in AAR Interchange Rules 120 and/or 122.

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 Notice of proposed rule revisions shall be published in a Mechanical Circular Letter soliciting written comments from interested parties. Such Circular Letter shall include the results of any cost benefit analysis performed with background information to afford the recipient an opportunity to understand the basis of such results. Comments are to be submitted to the AAR Chief Technical Standards 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.

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

S-051

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

**Standard
S-051**

Adopted: 1983; Last Revised: 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.

THIS PAGE LEFT BLANK INTENTIONALLY

APPLICATION FOR COMPONENT APPROVAL PROCEDURE

**Standard
S-060**

Adopted: 1987; Last Revised: 2014

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, email techstds@aar.com.

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. Materials must be submitted electronically. 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, and AAR service fee (see Office Manual Appendix E for appropriate service fees). 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. 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.

AAR Manual of Standards and Recommended Practices

Administrative Standards Supplement

S-060

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 designated 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.