



Quality Assurance Auditors & Industry Conference
February 2023 | New Orleans, LA



Auditee Preparedness

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IQC, Inc.

*MxV Rail is a subsidiary of
the Association of American Railroads
(formerly TTCI)*

Preparing for a M-1003 Audit

- **Audit Preparation**
 - Confirming the audit
 - Scheduling
 - Notification Letters
 - Audit Prep
 - Personnel
 - Production
 - Documentation
 - Questions



You Have Been Chosen for a M-1003 Audit



Working on Scheduling the audit

- Work with the Auditing Agency on acceptable dates
 - National Holidays
 - Plant Shutdowns
 - Production Schedules
- Notification Letters
- Contractor Profile Sheet
- Audit Fee Letter



Sample Letter - Audit Schedule

Today' Date, 2020

(at least 30 days before audit date)

*(Schedule letters must be transmitted to the AAR QAM and facility, at least 30 days before the audit date, by email. Schedule letters must include opening and closing meeting times and **must not** include a list of elements being audited)*

QA-13-ABCD-081820-RE

Mr./Mrs. Contact Name
 Contact Title
 ABC-Company
 Street
 Any Town, Any State, Zip
 Contact email

Dear Mr./Ms. Contact Name,

This is to confirm the planned Quality Assurance Audit at your Any Town, Any State facility starting on Open Meeting Date at 8:00 AM. The objective of the audit will be to confirm compliance through examination and evaluation of the practices within your organization. This will be a compliance audit for Freight and Locomotive air brake components/locomotive air compressors.

I have been assigned to conduct the audit at your facility. Please note that auditor assignments are subject to change. A tentative audit schedule is provided below:

Tuesday August 18, 2020

<u>Get Acquainted</u>	<u>9:00 a.m.</u>
<u>Pre-Audit Meeting</u>	<u>9:15 a.m.</u>
<u>Facility Tour</u>	<u>9:30 a.m.</u>
<u>Begin Audit</u>	<u>9:45 a.m.</u>
<u>Lunch</u>	<u>12 Noon</u>
<u>Resume Audit</u>	<u>1:00 p.m.</u>
<u>1st Day Summation</u>	<u>4:45 p.m.</u>



Wednesday August 19, 2020

<u>Resume Audit</u>	8:00 a.m.
<u>Lunch</u>	12 Noon
<u>Resume Audit</u>	1:00 p.m.
<u>Post Audit Meeting</u>	4:45 p.m.

Six to eight elements (titled paragraphs of Chapter 2) will be examined for compliance with Section J M-1003, latest revision. Please feel free to contact me at [123/123-1234](tel:1231231234) with any questions.

Sincerely,

Auditor Name
Auditor Title

cc: Don Guillen, Manager – AAR Quality Assurance Committee Manager at QA@aar.com





International Quality Consultants, Inc.
 106 Freeport Road
 Butler, PA 16002
 724/284-3738
 FAX 724/284-1310
pamoon@iqcconsulting.com

Invoice Number: _____

Date _____

Contact Name _____
 Title _____
 Company Name _____
 [Company Address] _____
 City, State Zip _____
 Email _____

File: QA-13-QA Code

RE: AAR M1003 Prepaid Audit Invoice
 Audit Date: _____ Auditor: _____
 Payment Due Upon Receipt

Dear Contact Name:

Under the terms of agreement with the AAR, the following is due upon receipt:

Commodity/Category/Product Code	Fee Per Fixed Rate Schedule
1. Select Activity Code	\$ _____
2. Select Activity Code	\$ _____
3. _____	\$ _____
4. _____	\$ _____
Quality Assurance Audit Administration Fee:	
AAR Members or AAR Affiliate Railroad Members or AAR Associated Supplier Members	975.00
OR	or
Non-members	\$ 1,160.00
Total US Dollars Due:	\$ _____

Make all checks payable to: International Quality Consultants, Inc.
 If you have any questions concerning this invoice, please contact: Josh Paserba 724-284-3738

 Joshua S. Paserba
 President



Prepping for a M-1003 Audit



- Personnel needed the Audit
 - Quality Personnel
 - Production Personnel
 - Any other Personnel needed based on the audit schedule
- Production of Certified Activity
 - Every Product Line might not be currently in manufacturing, but the processes should be running.
 - Finished Goods
- Documentation
 - Quality Manual
 - Management Review
 - Internal Audit
 - Production Inspection and Test Plan
 - Procedure / Work Instructions
 - Any additional items based on the audit schedule
 - Any corrective actions from your last M-1003 audit



Extra Preparation



- Audits
 - Process Audits
 - Toolbox Audits
 - Gemba Walkthrough
 - Internal Audits
- Check Drawers or Lockers
- Review previous NCRs to ensure they have been addressed
- Prep Employees for audit interviews
 - Prep all shifts
- Look at Posters, Handouts, or Wall Postings
- Questions for the Auditor
- Know the general locations of files
 - There is no need to prepare example files for the auditor





Thank you



Association of American Railroads
Quality Assurance Committee